Cost Accounting

Training Guide

Version 3.0

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About This Training Guide

Training Guide Description

This guide is an introduction to the processes used to create and maintain Cost Accounting data for grants, projects, programs, and jobs in AFIS. Also covered is how to research information related to these Cost Accounting activities. Cost accounting activities range in scope from State-funded operational programs to Federally-funded grants and highway construction projects. The lifecycle of an activity may span a few months to several years.

Training Guide Objectives

In this training guide you will:

- Review the navigation of AFIS using tables, documents, and queries
- Examine the Cost Accounting features and processes
- Identify the Cost Accounting query pages and their uses
- Create a cost accounting structure using the Cost Accounting Setup (CAS) document
- Maintain a cost accounting structure using the Cost Accounting Modification (CAM) document
- Create and review a reimbursement budget
- Expend funds
- Accrue and request revenue
- Receive revenue
- Record and track program costs using the Internal Costing Usage Transaction (ICT) and Charge Transaction (CH) documents
- Close a project or grant
- Create a decentralized Chart of Accounts element

Terminology

Table 1 includes key terms and definitions specific to this guide.

Table 1: Terminology

Term	Description
Activity	An optional department-specific Chart of Accounts element used to capture additional information. Refer to department procedure for the use of the Activity field and valid Activity codes.
Automated reimbursement	The series of three optional AFIS batch jobs that are used to select transactions for reimbursement, calculate drawdown requests, and

Term	Description
process	generate Receivable and/or Cash Receipt documents, in accordance with funding rules established within the cost structure for each grant or project setup to use the automated reimbursement process.
Cost Accounting	The process of accumulating, analyzing, and reporting cost information related to grant, project, program, and job activities.
Cost Accounting Modification (CAM) Document	The document that is used to modify various reference pages and budgets related to a project or grant. May be used to add or delete entries on some reference pages related to a project or grant.
Cost Accounting Setup (CAS) Document	The document that is used to set up the various reference pages and budgets related to a project or grant.
Cost Structure	The specialized Chart of Accounts elements in AFIS that that provide specific controls and tracking capabilities for transactions that support project and grant activities.
Drawdown Groups	Enable the system to group expenditures for reimbursement (draws) across different Departments, Major Programs, and Programs. Drawdown Groups are optional and can be defined at the Major Program or Program level.
Front End Split Process	One of two methods to perform funding source calculations in AFIS: the second is the back end split (the back end split method is not used by the State and will not be discussed in this course). The front end split process directs AFIS to perform funding source calculations for expenditures at the point of document entry. Front end split adjusts the input document to infer and record the accounting codes and the funding participation information at the time of entry. Front end split is set at the Major Program level.
Function	Used when creating documents to reduce input errors by inferring values based on document type and department.
Funding Line	Represents a funding source within a Funding Priority. It identifies the funding source, the percentage of expenditures the funding source will fund, the draw frequency, the revenue code, and any associated restrictions. A Funding Priority must have at least one Funding Line but may have multiple Funding Lines. The Funding Line is also used to store information needed for other purposes, such as Federal Appropriation Number and Catalog of Federal Domestic Assistance (CFDA) number. Funding Lines are set up only for the projects and grants that use the AFIS automated reimbursement or front end split process and a reimbursement budget structure.
Funding Priority	Part of the Funding Profile hierarchy. It represents the sequence of funding. Each Funding Profile includes at least one Funding Priority, and each Funding Priority has at least one Funding Line. For projects and grants having sequential spending requirements, funding priorities are established to represent the sequence. Funding Priorities are set up only for the projects and grants that use the AFIS automated reimbursement or front end split process and a reimbursement budget structure.
Funding Profile	The top level of the Funding Profile hierarchy, which identifies funding

Term	Description
	relationships within a Major Program. The hierarchy is a structure with three levels: Funding Profile, Funding Priority, and Funding Line. Funding Profiles are set up only for the projects and grants that use the AFIS automated reimbursement or front end split process and a reimbursement budget structure.
Funding Profile Inference	Allows AFIS to identify the Funding Profile to default into expenditure documents based on the Chart of Accounts elements entered on the document. Funding profile inferences are required when using the AFIS automated reimbursement process, or when using the front end split process for manually calculated reimbursements.
Funding Source	Identifies the type of resources used to pay for the project or grant (Federal, State or Other).
Funding Split	The mechanism that takes a single Accounting line for an expenditure and splits it between multiple funding sources based on funding profile and funding profile inference set up. The type of funding split for a cost structure is entered on the Major Program record.
Internal Buyer Funding Line	Part of the Funding Profile hierarchy. Defines one or more internal funding sources to be associated with inter-governmental payments.
Location	An optional Chart of Accounts element.
Major Program	The highest level element of the cost structure. A Major Program identifies a project or grant or a grouping of projects or grants.
Major Program Category	A hierarchical inferred element used for reporting at the Statewide level.
Cost Structure	The collection of specialized Chart of Accounts elements in AFIS that that provide specific controls and tracking capabilities for transactions that support project and grant activities.
Phase	The Chart of Accounts element used to identify different Phases within a Project. Examples are scoping, design, construction, etc.
Program	Identifies a project or grant, or a division of a project or grant. An individual Program is assigned to one and only one Major Program, while a Major Program may have multiple Programs (but must have at least one).
Program Budget Structure (Non-reimbursement budget structure)	Used to control how project/grant funds are expended. Budget Structure 38 (Grant Budget) is the most commonly used program budget structure. Budget Structure 37 (Program Phase) is used for cost structures requiring budget control at the Phase level.
Program Category	A hierarchical inferred element used for reporting at the Statewide level.
Program Group	A hierarchical inferred element used to group projects for reporting purposes at the department level.
Program Period	Defines time periods for cost accounting activities (the award period and/or the grantor's fiscal year).
Program Phase	A page that is used to associate a Phase to a Program.
Program Type	A hierarchical inferred element used for reporting at the department level.
Reclassification	An automated process used to apply new funding profile information to existing financial transactions in AFIS. For example, the Reclassification

Term	Description
	process can be used to generate a bill to the Federal Highway Administration (FHWA) for eligible expenses previously paid out of State Funds.
Reimbursement budget structure	Must be used for those projects that are using the automated reimbursement or front end split functionality in AFIS. The most common reimbursement budget structure is Budget Structure 39 (Reimbursable Grant Budget). If budgetary control is needed at the Program Phase level, Budget Structure 40 (Phase Reimbursable Budget) is used.

LIST OF ACRONYMS

Table 2 lists the acronyms used in this guide.

Table 2: List of Acronyms

Acronym	Definition
ACTV	Activity
AD	Automated Disbursement document
ADOT	Arizona Department of Transportation
AFIS	Arizona Financial Information System
APD	Accounting Period
CACR	Cost Account Cash Receipt document
CARE	Cost Accounting Receivable document
AUTOCANO	Cost Accounting Auto Numbering page
BGPDE	Budget document for Budget Structure 38
BGPDR	Budget document for Budget Structure 39
BGPHE	Budget document for Budget Structure 37
BGPHR	Budget document for Budget Structure 40
CACT	Customer Account Options page
CAM	Cost Accounting Modification document
CAS	Cost Accounting Setup document
CFDA	Catalog of Federal Domestic Assistance
CH	Charge Transaction document
CHCLS	Charge Class page
CNTAC	Contact page
CR	Cash Receipt document
DDG	Drawdown Group
FA	Fixed Asset document
FAN	Federal Appropriation Number page
FEDAGCY	Federal Agency page
FES	Front end split
FHWA	Federal Highway Administration
FHWACLN	FHWA Rejection Records page
FPI2	Funding Profile Inference 2 page

Acronym	Definition
FPI3	Funding Profile Inference 3 page
FPI4	Funding Profile Inference 4 page
FPI5	Funding Profile Inference 5 page
FPPPAPPR	Funding Profile Inference by Program Period and Appropriation page
FPRFLST	Funding Profile Select page
FREQDT	Frequency Date page
GAO	General Accounting Office
GAX	General Accounting Expenditure document
GFPI	Grant Funding Profile Inference page
GLM	Grant Lifecycle Management
GTAW	Grant Award document
ICJ	Internal Costing Journal page
ICT	Internal Costing Transaction document
IET	Internal Exchange Transaction document
INCR	Internal Cost Rate page
ITA	Internal Transaction Approval document
ITI	Internal Transaction Initiator document
JACTG	Accounting Journal
JCA	Cost Accounting Journal
JV	Journal Voucher document
JVC	Cost Accounting Journal Voucher document
MD	Manual Disbursement document
MJPRG	Major Program page
OBJ	Object page
OVDRTEXP	Overhead Rate Exception page
PAEX	Program Activity Exception page
PHASE	Phase page
PHPRG	Program Phase page
POEX	Program Object Exception page
PPC	Program Period page
PRGREQ	Program Activity Requirement page
PROG	Program Setup page
PROGREQ	Unit/Program Required page
PSTAT	Program Status page
PTYP	Program Type page
RE	Receivable document
REIMGEN	Reimbursement Generation Parameter page
REIMHIST	Reimbursement History page
REIMOTPT	Reimbursement Output Parameter page
REIMSEL	Reimbursement Selection Parameter page
SEFA	Schedule of Expenditures of Federal Award
SOPT	System Options page
TASKORD	Task Order page
VCUST	Vendor Customer page

1. NAVIGATION REFRESHER

Learning Objectives

In this lesson, you will:

- Review the basic access and navigation of a reference table
- Review the basic access and navigation of documents using the Document Catalog
- Review the navigation tools and searching records within a query

Lesson Overview

As with any software, it is important that users understand how to navigate through various menus and features in order to complete tasks efficiently and accurately. This lesson reviews the navigation of AFIS as it pertains to cost accounting processing by looking at reference tables, documents, and inquiries that are used throughout this Cost Accounting course. Understanding the differences between the pages is important because it makes it easier for you to search for a particular type of page. Pages are referred to in two different ways, the Page Description and the Page Code. AFIS uses a Web interface to display the types of application pages, which are described below.

1.1. Navigation Review: Reference Table

Reference tables are used to store information within the system. The information in some of these reference tables can be created and modified by anyone with the required security permissions; others are system-maintained and are updated by the system via document updates or offline processes. All reference tables can be accessed via either Page Search or the Jump to command at the top of the screen. This topic examines the Major Program (MJPRG) reference table.

ACTIVITY 1.1:
View the Major Program (MJPRG) Table

Scenario

Review the structure of reference tables by navigating to the Major Program (MJPRG) table using Page Search. Expand the components on MJPRG to view the information entered in this table. Use the Search command to search for a specific record on MJPRG.

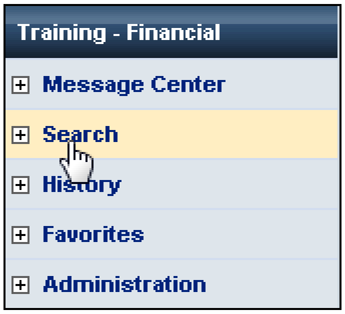
Setup

✓ User is logged into the AFIS Home Page.

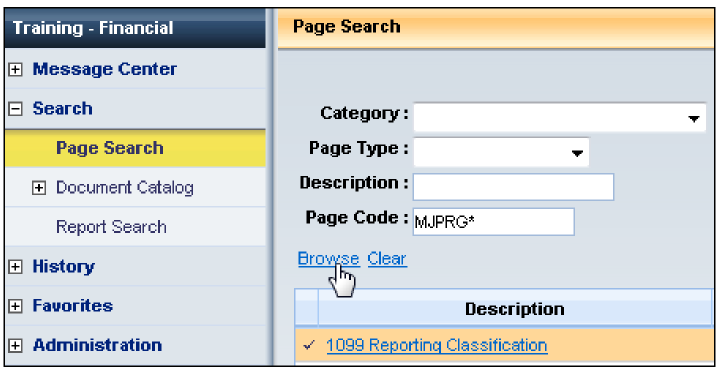
Steps

A. Navigate to the Major Program (MJPRG) table.

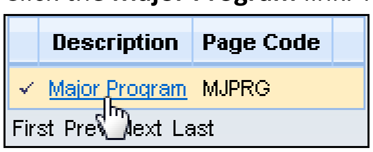
1. On the Secondary Navigation Panel, click **Search** to expand it.



2. Click **Page Search**.
3. In the **Page Code** field, enter ***MJPRG***.
4. Click **Browse**.

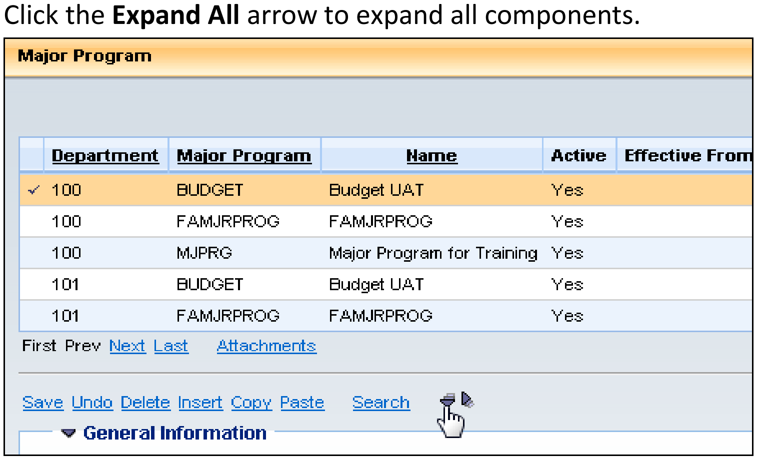


5. Click the **Major Program** link. The MJPRG page is displayed.

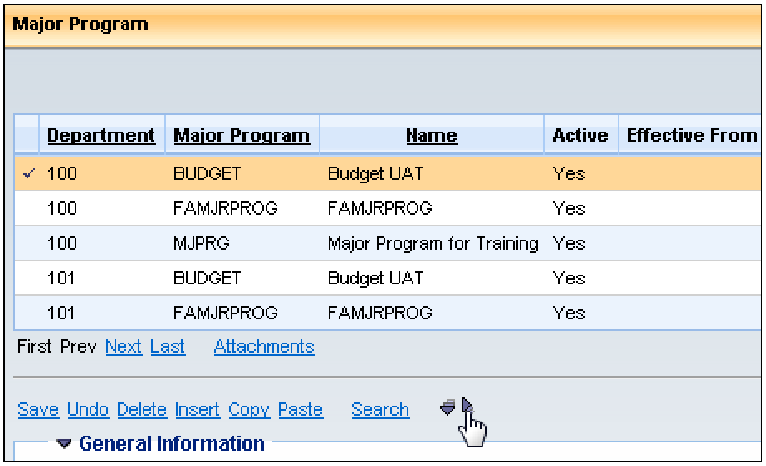


B. Use multiple methods to view the fields in each component of the MJPRG table.

1. Click the **Expand All** arrow to expand all components.

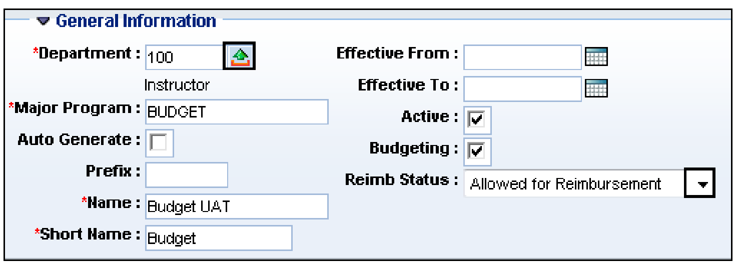


2. Click the **Collapse All** arrow to collapse all components.



3. Click **General Options** to expand the General Options component.

4. Review the fields available for data entry. Notice fields supported by a pick list and drop down list.

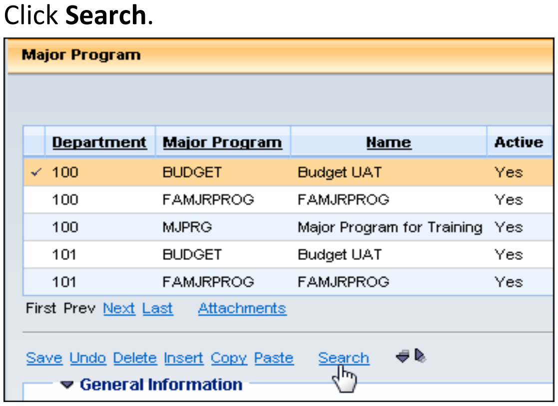


5. Click **Overhead** to expand the Overhead component.

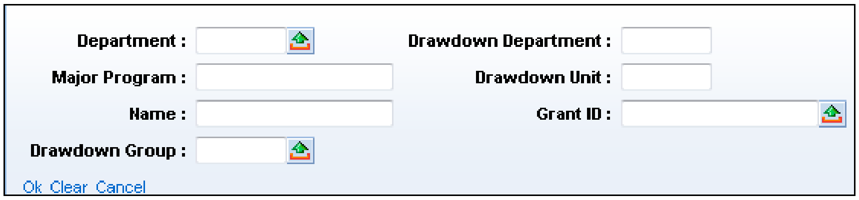
6. Scroll down to view all fields available in the Overhead component.

C. Search for a specific Major Program on the MJRPG table, then return to the Home Page.

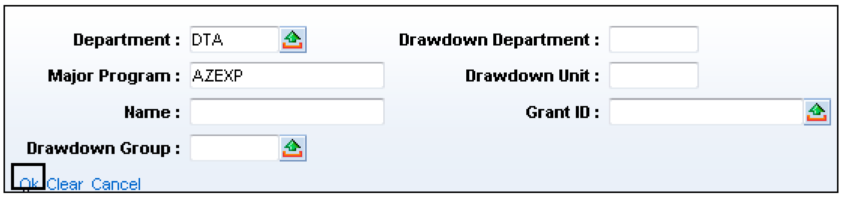
1. Scroll to the top of the page.
2. Click **Search**.



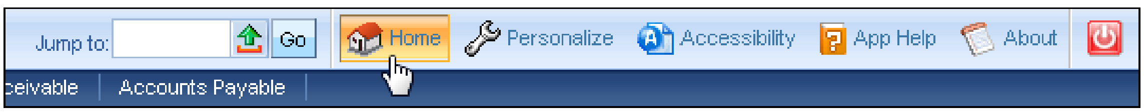
3. Notice the fields available to search for a specific entry on the MJPRG table.



4. In the **Department** field, enter ***DTA***.
5. In the **Major Program** field, enter ***AZEXP.***
6. Click **Ok**. The Major Program is displayed in the MJPRG grid.



7. Notice the details for this specific Major Programs are displayed in the fields in each component of the MJPRG.
8. Click **Home** on the Primary Navigation Panel to return to the Home Page.



1.2. Navigation Review: Document

The information stored in reference tables is updated by documents. Some documents update the information on multiple tables. The Document Catalog is used to create documents and to search for documents based on Code, Department, Unit, or ID. It can also be searched by User Information using User ID (created by) and Date (created on), as well as by Document State using Function, Phase, or Status fields.

Activity 1.2:

View the Cost Accounting Setup (CAS) Document

Scenario

Review how to search for an existing document in the Document Catalog. Navigate within the Cost Accounting Setup (CAS) document to review key features of the document structure.

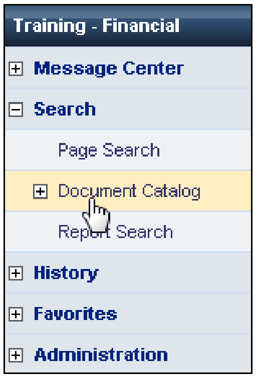
Setup

✓ User is logged into the AFIS training environment

Steps

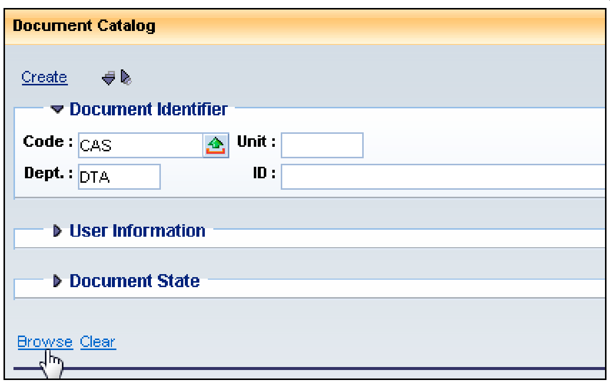
A. Navigate to the Document Catalog.

1. On the Secondary Navigation Panel, click **Search**.
2. Click **Document Catalog**.



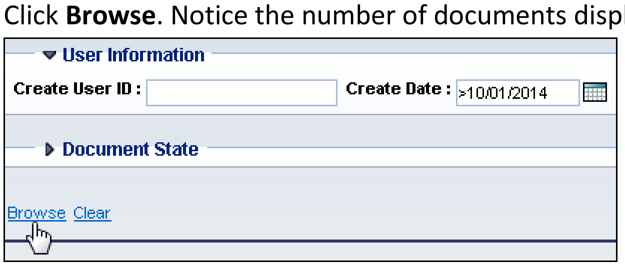
B. Enter search criteria to locate a Cost Accounting Setup (CAS) document.

1. In the **Code** field, enter ***CAS***.
2. In the **Dept** field, enter ***DTA***.
3. Click **Browse**. Notice the number of documents displayed in the grid.



C. Enter search criteria in the User Information component to refine the search.

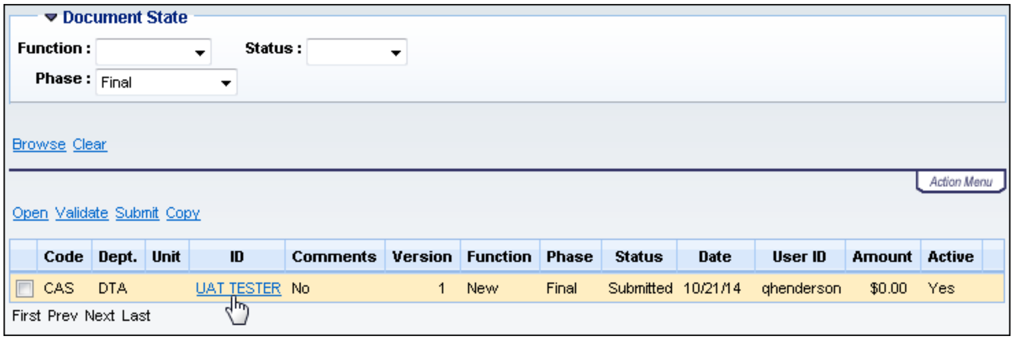
1. Click **User Information** to expand the component.
2. In the **Create Date** field, enter ***>10/01/2014.***
3. Click **Browse**. Notice the number of documents displayed in the grid.



***Note**: The wildcard character > tells* AFIS *to search for all CAS documents created after 10/01/2014.*

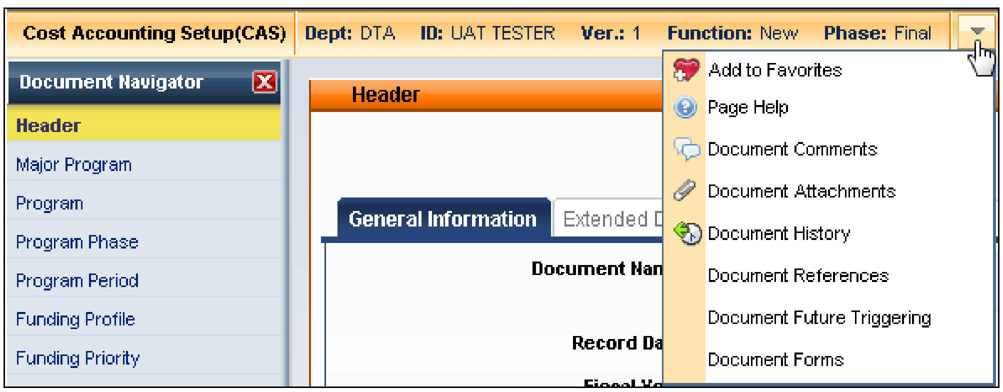
D. Enter search criteria in the Document State component to refine the search.

1. Click **Document State** to expand the component.
2. From the **Phase** drop down list, select **Final**.
3. Click **Browse**. Notice the number of documents displayed in the grid.
4. In the **ID** column, click the link for the CAS document. The CAS document is displayed.



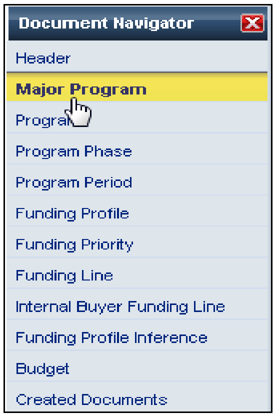
E. When a document is opened, the title bar identifies the document and the Header component is displayed. Review the information displayed in the document title bar.

1. Notice the document code, Dept., ID, Ver., Function, and Phase are identified.
2. Click the drop down arrow to the right of the Phase code to display the Document Menu.

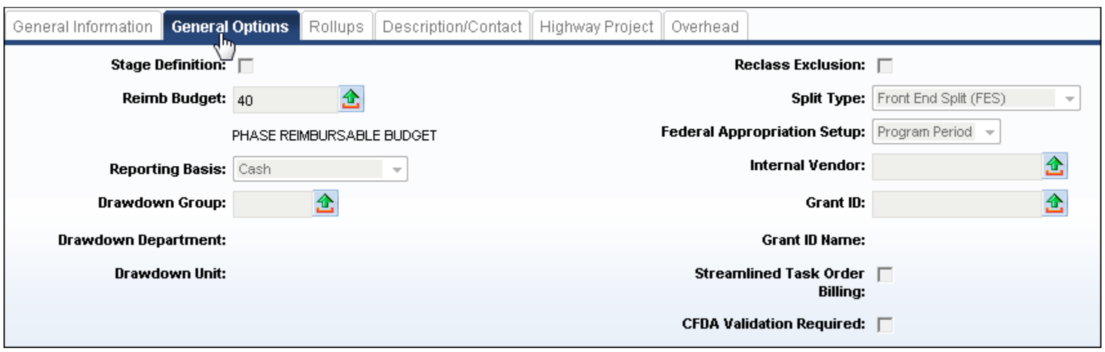


F. Review document navigation by navigating within the CAS. To navigate within a document, either click the component name or use the Document Navigator panel, then click Close and return to the Home Page.

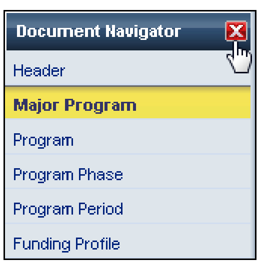
1. On the Document Navigator, click **Major Program**. The Major Program component is displayed.



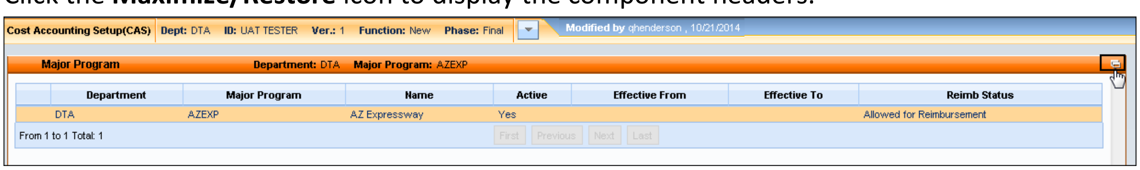
2. Click the **General Options** tab.
3. View the fields available on the General Options tab. Notice they align with the fields you viewed on the Major Program (MJPRG) table.



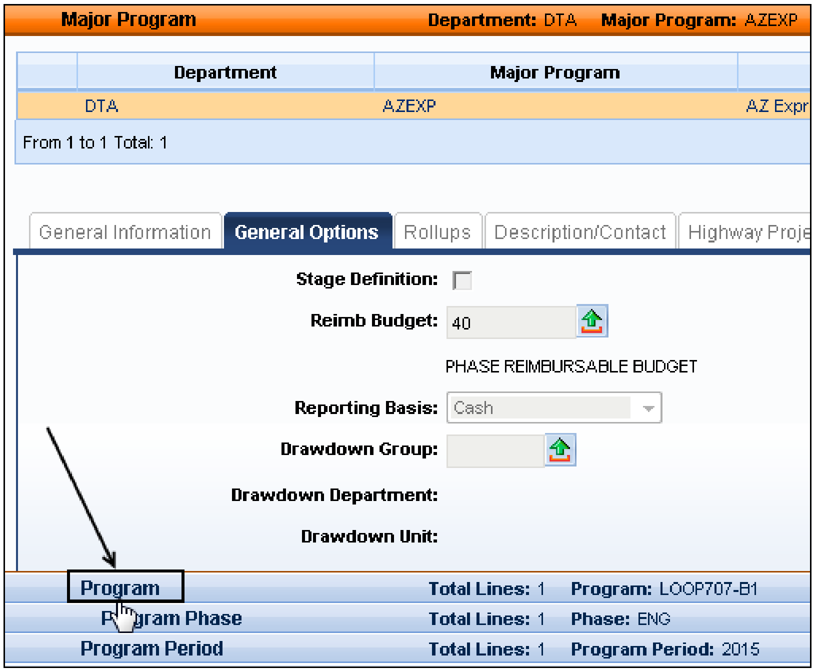
4. On the Document Navigator, click the red **X** to collapse it.



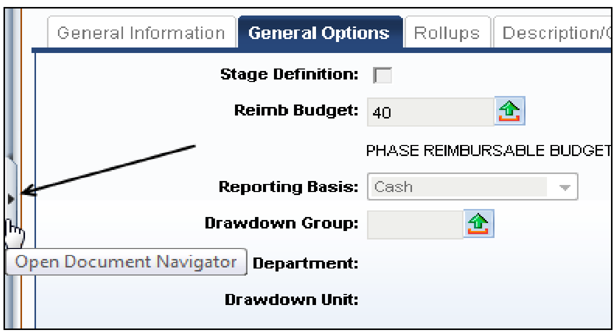
5. Click the **Maximize/Restore** icon to display the component headers.



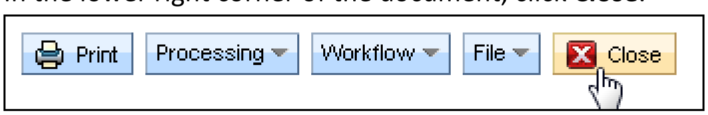
6. Click the **Program** component name to expand it.



7. Click the Open Document Navigator arrow on the left margin to open the Document Navigator.



8. In the lower right corner of the document, click **Close**.



9. Click **Home** on the Primary Navigation Panel to return to the Home Page.

1.3. Navigation Review: Inquiry Pages

Inquiry pages allow you to search for and view detailed or summary information from the AFIS database. These pages are generally used for viewing and cannot be used to modify data. Information in most inquiries is updated real time. For example:

- Grant budget information can be tracked and researched by using the Reimbursable Grant: Funding Priority (BQ38LV1) page
- Cost accounting transactional information can be researched by using the Cost Accounting Journal (JCA) page

ACTIVITY 1.3:
View the BQ38LV1 Page

Scenario
Use the Jump to action to quickly navigate to the BQ38LV1 page. Review how to search for the budget of an existing grant and the navigation tools available on an inquiry page.

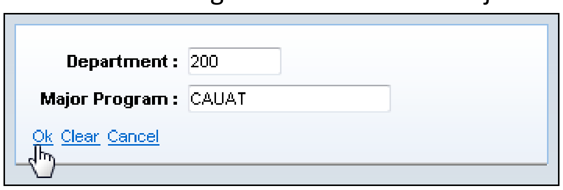
Setup
✓ User is logged into the AFIS training environment.

Steps

A. Using the Jump To field, navigate to the **Major Program Budget**: Funding Priority (BQ38LV1) page and search for the Major Program budget.

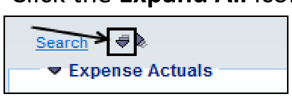
1. On the Primary Navigation Panel, in the **Jump To** field, enter ***BQ38LV1***.
2. Click **Go**. The BQ38LV1 page is displayed and a search window is presented. The BQ38LV1 inquiry page is an example of an inquiry page with the Search layout.

3. In the **Department** field, enter ***200***.
4. In the **Major Program** field, enter ***CAUAT***.
5. Click **Ok**. The budget information for Major Program is displayed.

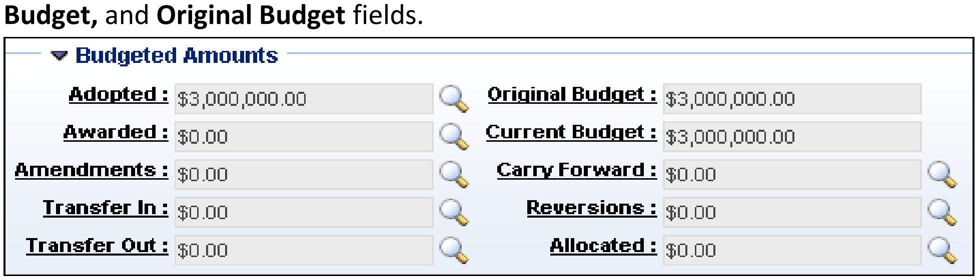


B. Review the budget for the Major Program.

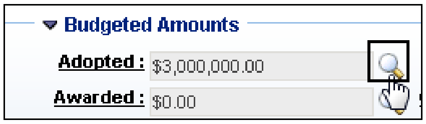
1. Click the **Expand All** icon to expand all of the components.

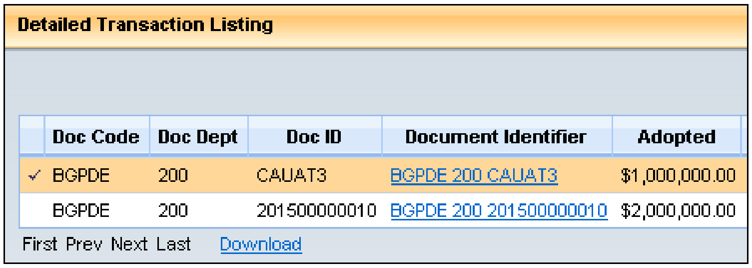


2. In the **Budgeted Amounts** component, notice the budgeted amount in the **Adopted, Current Budget,** and **Original Budget** fields.

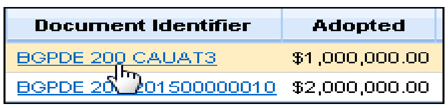


3. For the **Adopted** field, click the **Magnifying Glass** icon to drill down to the **Detailed Transaction Listing.** Notice the grid displaying originating budget document with links in the **Document Identifier** field.

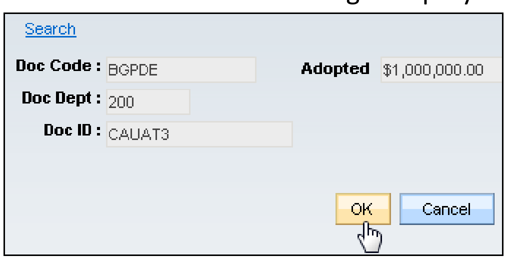




4. Click the **Document Identifier** link to navigate to the BGPDE budget document.

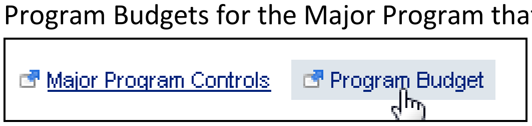


5. Click the **Close** button to close the budget document. You are returned to the Detailed Transaction Listing.
6. Click **OK** to return to the budget inquiry screen.

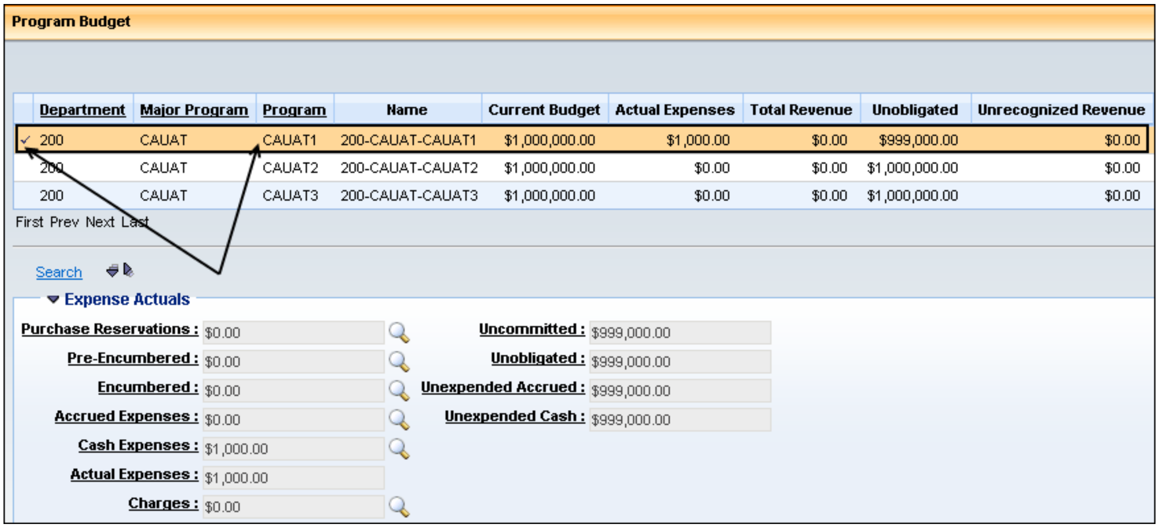


C. Use the page navigation link to navigate to the Program Budget (BQ38LV2) page, then return to the Home Page.

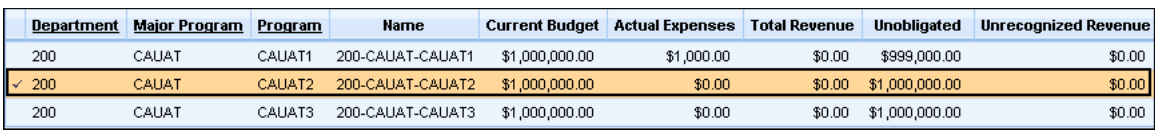
1. Scroll to the bottom of the page.
2. Click the **Program Budget** link. The Program Budget (BQ38LV2) page is displayed, showing all Program Budgets for the Major Program that was selected on the BQ38LV1 page.



3. Notice that the CAUAT1 Program is highlighted in the grid. The budget details for this program are displayed in the scalar components of the page.



4. In the grid, click the line for Program **CAUAT2**.



5. Notice the details in the scalar have changed and now reflect the budget details for Program **CAUAT2**.
6. Click **Home** on the Primary Navigation Panel to return to the Home Page.

Lesson Summary

In this lesson you:

- Reviewed the basic access and navigation of a reference table
- Reviewed the basic access and navigation of documents using the Document Catalog
- Reviewed the navigation tools and searching records within a query

Check Your Progress

1. Reference tables are updated by manual data entry only.

   a. True
   b. False

2. All pages can be accessed either through Page Search or by using the Jump to field.

   a. True
   b. False

3. Inquiry pages most commonly are used to view detailed or summary information from the AFIS database.
    a. True
    b. False

2. Overview of Cost Accounting

Learning Objectives

In this lesson, you will:

- Identify the cost structure as the component of AFIS that is used for cost accounting
- List and define the required elements for cost accounting (Major Program, Program, and Program Period)
- List and define the optional elements for cost accounting (Phase, Task Order, Stage Profile, and Funding Profile)
- List and define the additional Chart of Accounts elements available to capture cost accounting information (Activity, Location, and Function)
- Differentiate between Major Program and Program

Lesson Overview

The cost structure is the component of AFIS used for cost accounting. The cost structure is a hierarchy of specialized Chart of Accounts elements that provide specific controls and tracking capabilities for transactions that support project and grant activities.

The cost structure elements required for cost accounting are Major Program, Program, and Program Period. The optional cost elements include:

- Phase
- Task Order
- Stage Profile
- Funding Profile and components

Location, Sub Location, Activity, Sub Activity, Function, and Sub Function are additional Chart of Accounts elements available for departments to capture additional information about cost accounting activities. The Major Program, Program, Activity, Function, and Location elements also have four roll up levels (Group, Type, Category, and Class) used to aggregate cost accounting data.

2.1. Cost Accounting Overview

Cost accounting is the process of accumulating, analyzing, and reporting cost information related to projects, grants, programs, and jobs. Cost accounting in AFIS includes setting up cost structures after being awarded a grant or starting a project; tracking grant and projects; generating drawdown requests for reimbursement from funding sources (creating receivables from federal agencies); receiving revenues; and reclassifying grant and project transactions if funding sources change over the lifecycle of the project or grant.

The AFIS Cost Structure

AFIS utilizes the cost structure to capture cost accounting information. The cost structure is a hierarchy of specialized Chart of Accounts elements. Major Program elements used for cost accounting in AFIS vary based on both the characteristics of each activity and the information needs of the department; however, each grant or project must have a Major Program, at least one Program, and at least one Program Period. AFIS supports the use of multiple, concurrent cost structures that work in conjunction with each other.

Additional elements within the cost structure utilized for cost accounting are listed below.

- Stage Profile Select and Stage Definition Setup
- Phase
- Task Order
- Funding Profile
  - Funding Priority
  - Funding Line
  - Internal Buyer Funding Line

The use of these additional elements depends on the type of activity. This is discussed more in Topic 2.2 Overview of Cost Accounting Setup. Currently, the State is not planning to use the Stage Profile Select, Stage Definition Setup, and Task Order pages.

Cost Accounting Rollups

Each Major Program and Program has four levels of rollup: Group, Type, Category, and Class. Rollups are used to aggregate and report on cost accounting information. The Group and Type rollups are available for department use, while the Category and Class are used for State-wide reporting purposes.

Cost Structure Models

Several model cost structures, using a variety of available chart of account elements, have been established as part of AFIS system implementation to meet the various needs of each department. See the Appendix (Cost Structure Models section) for additional information on each model. Refer to your department leadership for information on the cost structure(s) and accompanying budget structures that your department are using.

Additional Chart of Accounts Elements

In addition to the cost structure, optional Chart of Accounts elements are available to capture information about cost accounting activity: Activity, Sub Activity, Function, Sub Function, Location, and Sub Location. These elements are utilized when required by department procedure. Activity, Function, and Location have four levels of rollup: Group, Type, Category, and Class.

2.2. Overview of Cost Accounting Setup

A grant or project is set up in AFIS using key Chart of Accounts elements within the cost structure. These elements are entered on the accounting and posting lines of expenditure, disbursement, and general accounting documents to associate the transaction with the grant or project.

Major Program (MJPRG)

The Major Program (MJRPG) page establishes the highest level of the cost accounting structure, and is a required element in the cost structure. All remaining cost accounting elements are organized under the umbrella of the Major Program element. The role of the Major Program is to define global characteristics, behaviors, and controls for all aspects of the grant or project.

The Major Program may identify an individual project or grant, or a grouping of projects or grants based on department needs. Each department will determine the best cost structure for each project or grant based on budgeting, reporting, and tracking requirements for the project or grant. For some, the grant/project will be set up at the Major Program level. For others, the Major Program will be used to summarize project/grant activity, and the actual project/grant will be established at the Program Setup level. Major Program also has Group, Type, Category, and Class rollup codes available.

Program Setup (PROG)

There are usually several Programs established on the Program Setup (PROG) page in the Major Program hierarchy. A Program is the primary cost accounting element in the cost structure, and is a required element on every cost accounting transaction. A Program is used to identify a specific project or grant, or it may be used to identify a division or component of a project/grant, if the project/grant itself is set up at the Major Program level. Program also has Group, Type, Category, and Class rollup codes available.

The Major Program links individual Programs together for budgeting and/or reporting purposes. Although a Major Program can have multiple Programs beneath it, each Program can only be associated to one Major Program. The Major Program code is inferred on an AFIS document based on the Program code that is entered on the Detail Accounting tab of the document.

Program Period (PPC)

A record on the Program Period (PPC) page establishes a time period for a project/grant. A Program Period is created for each award period for grants or projects.

Optional Elements of the Cost Structure

The optional elements of the cost structure, listed in alphabetical order, are as follows:

Funding Profile Select (FPRFLST)

The Funding Profile is established on the Funding Profile Select (FPRFLST) page. It is a hierarchical component within the cost structure consisting of the Funding Profile, Funding Priority(s), Funding Line(s), and Internal Buyer Funding Line(s). A Funding Profile hierarchy identifies the funding sources and funding agreement details for a grant or project. It is required when the AFIS funding split process is used for a grant or project.

Separate Funding Profiles are established for ineligible (non-participating) funding and eligible (participating) funding. The priorities and lines entered on the profiles depend on the funding arrangement for the project or grant. Ineligible profiles have only State funding lines.

In addition to the setup of a Funding Profile, Funding Priority, and Funding Line, there are additional processes and configurations that must be established to enable the reimbursement process. The detailed setup of all components of the reimbursement process is discussed in Topic 3.8 Establish a Funding Profile Hierarchy.

Phase (PHASE)

A record is established on the Phase (PHASE) page to create a department-specific element used to categorize transactions within a Program, based on the needs of the department or the requirements of the specific project/grant. For example, Phases may be used to group transactions for construction projects by the phase of the project (Engineering, Construction, Right of Way, etc.). Phase codes can be used across all Programs within an individual Department and are not unique to a single Program.

Program Phase (PHPRG)

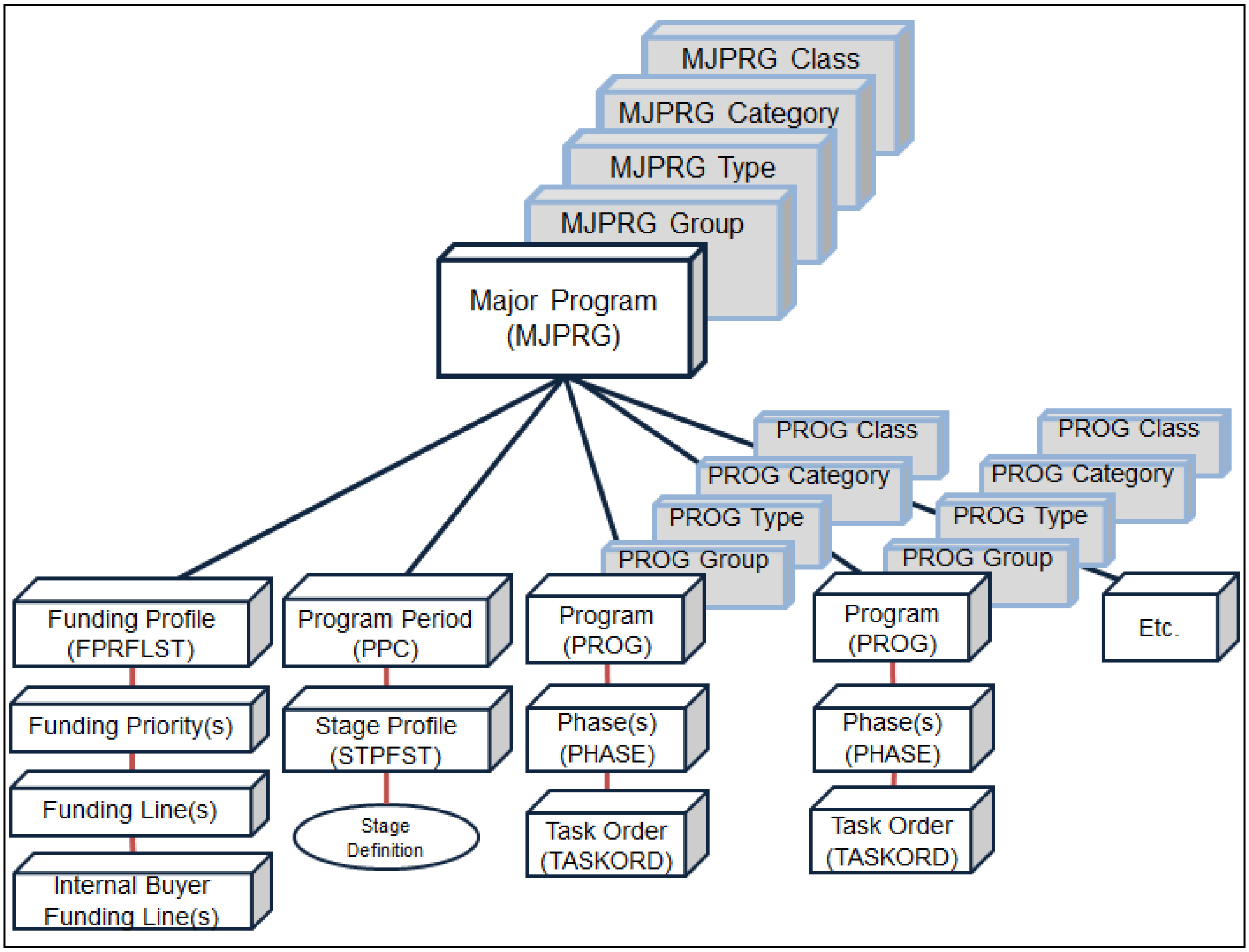
To utilize a Phase for a specific Program, the Phase must be associated to the Program on the Program Phase (PHPRG) page. The Program Phase (PHPRG) page may also be used to capture the Federal Agreement Number.

Task Order (TASKORD)

The Task Order element is established on the Task Order (TASKORD) page. It may be used to further segregate expenditures below the Program/Phase level.

A diagram of the entire cost structure is shown in Figure 1, and a more detailed diagram can be found in the appendix. Based on specific requirements, the State determines, on a project-by-project basis or grant-by-grant basis, the applicable elements to be used and the information to be captured by those elements.

Figure 1: Major Program Chart of Accounts Elements and Rollups for Cost Accounting



Lesson Summary

In this lesson, you:

- Identified the cost structure as the component of AFIS that is used for cost accounting
- Listed and defined the required elements for cost accounting (Major Program, Program, and Program Period)
- Listed and defined the optional elements for cost accounting (Phase, Task Order, Stage Profile, and Funding Profile)
- Listed and defined the additional Chart of Accounts elements available to capture cost accounting information (Activity, Location, and Function)
- Differentiated between Major Program and Program

Check Your Progress

1. The Major Program can be used to group similar projects or grants together.
   a. True
   b. False
2. A Major Program is associated with one and only one Program.
   a. True
   b. False
3. In AFIS cost accounting, the _________ Chart of Accounts element(s) is required.
   a. Major Program
   b. Program
   c. Program Period
   d. Both a. and b.
   e. All of the above.

3. Overview of the Cost Structure

Learning Objectives

In this lesson, you will:

- Identify the preferred method to create projects and grants in AFIS
- View a Major Program (MJPRG) record
- View a Program on the Program Setup (PROG) page
- Define the role of a Phase (PHASE)
- View an entry on the Program Phase (PHPRG) page
- Identify the role of a Stage Profile and Stage Definitions
- View an entry on the Program Period (PPC) page
- Define the role of the Funding Profile Hierarchy and each of its components
- View an entry on a funding profile inference page
- Review an entry on the Activity (ACTV) page
- Review an entry on the Object (OBJ) page
- Identify tables available to establish reimbursement eligibility exception rules

Lesson Overview

This lesson provides a detailed review of each page in the cost structure. The role of each page is identified and records on each page are viewed in the AFIS training environment. Most users will have view only access to these pages to conduct research related to cost accounting activities. In practice, the Major Program pages will be updated by completion of appropriate entries on the Cost Accounting Setup (CAS) and/or Cost Accounting Modification (CAM) documents, which contain all of the components and fields available for most pages in the cost structure. Creating CAS and CAM documents are addressed later in this course.

A capital project is established by entering data in the pages listed below:

1. Major Program
2. Program Setup
3. Program Phase
4. Program Period
5. Funding Profile (if the AFIS automated reimbursement or front end split process is used)
6. Funding Profile Inference(if the AFIS automated reimbursement or front end split process is used)

Note*: Entries on the PHASE page are standardized. Updates to this page are not needed for each project.*

A grant is established by entering data in the pages listed below:

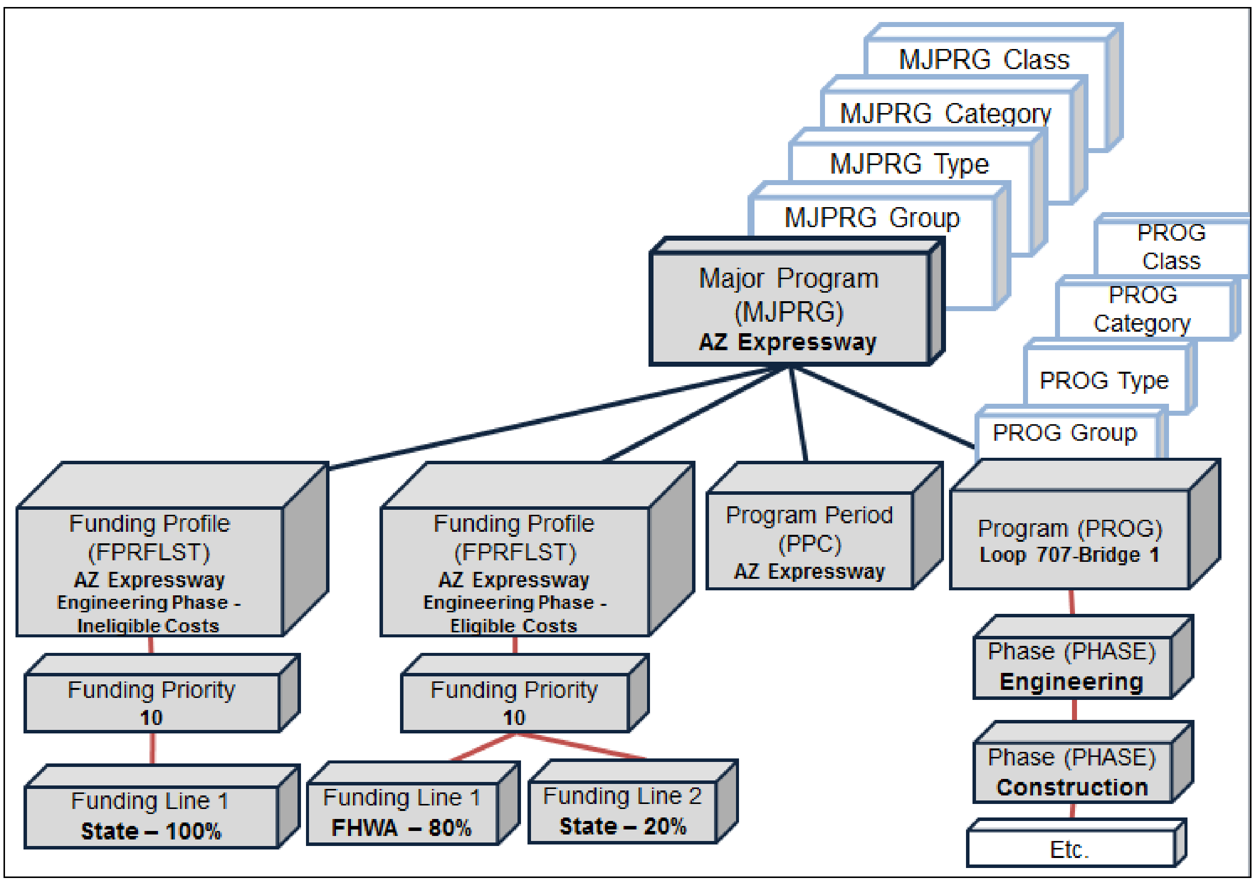
1. Major Program
2. Program Setup
3. Program Period
4. Funding Profile (if the AFIS automated reimbursement or front end split process is used)
5. Funding Profile Inference(if the AFIS automated reimbursement or front end split process is used)

3.1. Major Program

The Major Program (MJPRG) page is the highest level of the cost accounting structure. The Major Program identifies a grouping of projects or grants, in some cases, an individual project or grant.

For this lesson, we will use a fictitious project (the AZ Expressway Project) to illustrate a typical ADOT Federal Highway Administration (FHWA) capital project structure. Figure 2 displays the structure for this project. The shaded boxes are the elements that are covered in this lesson. A typical grant structure is very similar, except that grant structures do not utilize Phases to further break down a Program.

Figure 2: Typical DOT FHWA Capital Project Structure



The MJPRG page allows you to establish global characteristics and behaviors for the project. Examples of global characteristics that can be established on MJPRG include:

- Identifying the Reimbursement budget Structure used for the project(s)
- Identifying the location of the Federal Appropriation information
- Identifying if transactions within the cost structure may be eligible for overhead

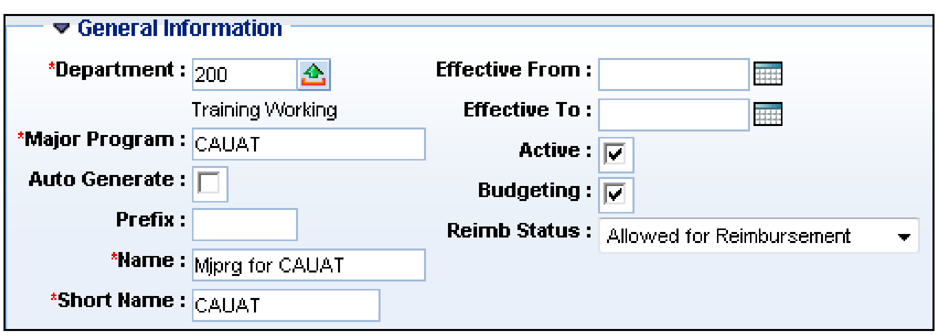
Major Program (MJPRG)

MJPRG contains the General Information component, the General Options component, the Rollups component, the Description/Contact component, the Highway Project component, and the Overhead component.

General Information component

The General Information component identifies the Major Program. Key fields in this component include:

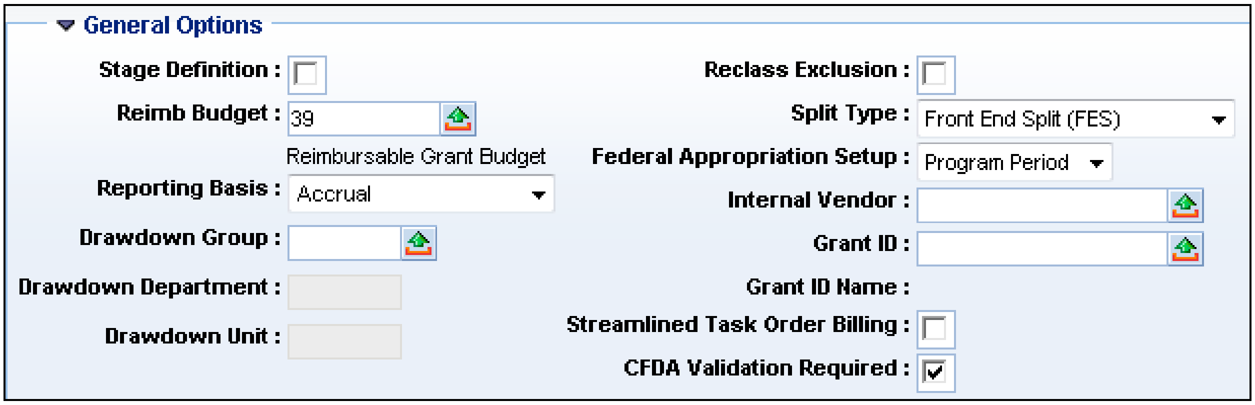
- **Department** - the code for the department managing the Major Program
- **Major Program Code** - The unique ID code that identifies the Major Program. This identifies the project or the grant, or a grouping of projects or grants. The Major Program code may be assigned manually or auto generated by AFIS. The State will auto generate Major Program codes, so the Auto Generate check box should be checked. A MJPRG code will be assigned when the record is saved
- **Prefix** – Refer to department procedure. Valid entries in the Prefix field are:
    - Enter a valid prefix for the department, if established on the Cost Accounting Auto Numbering (AUTOCANO) page
    - Leave the field blank. If a default prefix is established on AUTOCANO for the department, it will be inferred. If a default prefix has not been established for the department, the Major Program code will be auto generated without a prefix
- **Effective From** and **To** - These date fields are optional and typically remain blank for the Major Program. Effective dates for project and grant activity are normally controlled on the Program Period records
- **Reimbursement Status** - This field is associated with the reimbursement functionality in AFIS. The default entry Allowed for Reimbursement is selected unless transactions for the project or grant should temporarily be suspended from reimbursement. If this is the case, select Suspended for Reimbursement. If manual billing will be used for the Major Program, select Allowed for Reimbursement



General Options component

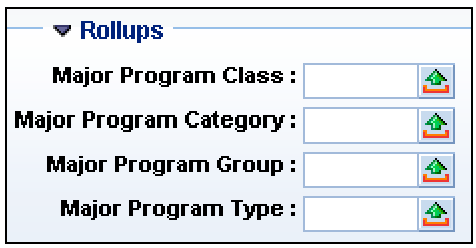
The General Options component has important fields relating to the financial control of the Major Program. Key fields in this component include:

- **Stage Definition** - The State is not currently using Stage Profiles, so this check box remains unchecked for all Major Programs
- **Reimb Budget** - A reimbursement budget is required for projects and grants using the automated reimbursement or front end split processes. The most common selection is Structure ID 39. If budget control is required at the Program/Phase level, select Structure ID 40
- **Reporting Basis** - This setting tells AFIS to infer the Program Period based on the record date of the cash expenditure. For all Major Program records, the recommended setting is Accrual
- **Drawdown Group** - A drawdown group is an optional value that is entered for projects and grants using the automated reimbursement process, when a single funding agreement covers more than one Major Program (usually in multiple departments). It may be overridden at the Program level. Refer to Application Help for additional information on Drawdown Groups
- **Reclass Exclusion** - This field indicates if posting lines that have this Major Program value are to be reclassified when the offline Reclassification Process is run. See Application Help and the Cost Accounting Run Sheets for additional information
- **Split type** - The Split Type field instructs AFIS how and when to apply funding splits (for example, Federal-funding of 75%, and State funding of 25%)
    - For projects and grants using the automated reimbursement or the front end split process, select Front End Split (FES). This tells AFIS to apply the funding split at the time the transaction is entered in the system
    - For projects and grants not using the automated reimbursement or front end split process, but if funding agreement information will be entered in AFIS for tracking purposes, select No Automated Splits – Manual
    - For projects and grants that will not use either the automated reimbursement process nor the Funding Profile tables, select No Automated Splits – No Bill
- **Federal Appropriation Setup** - The Federal Appropriation Setup field instructs AFIS to look at either the Program Period or Funding Line for the federal reference numbers such as CFDA or Federal Appropriation Number
- **Grant ID** - This field links the information on the grant award in the Grant Lifecycle Management component of AFIS to the cost structure. For grants established at the Major Program level, search for and select the Grant ID to which this Major Program will be associated
- **CFDA Validation Required** - This check box indicates whether a CFDA number must be validated against the CFDA Number (CFDA) page for Chart of Accounts elements established for this Major Program. When checked, the Federal Catalog Prefix field and Federal Catalog Suffix field values specified on the PPC page, Funding Line page, CAS document, or CAM document will be validated against the CFDA Number table to ensure it is a valid value. This check box defaults to unchecked



Rollups component

The Rollups component provides four levels to aggregate project or grant activity for reporting purposes. The Major Program Class and Major Program Category are used for State-wide reporting purposes. The Major Program Group and Major Program Type rollups are department-specific and should be completed according to department procedure.

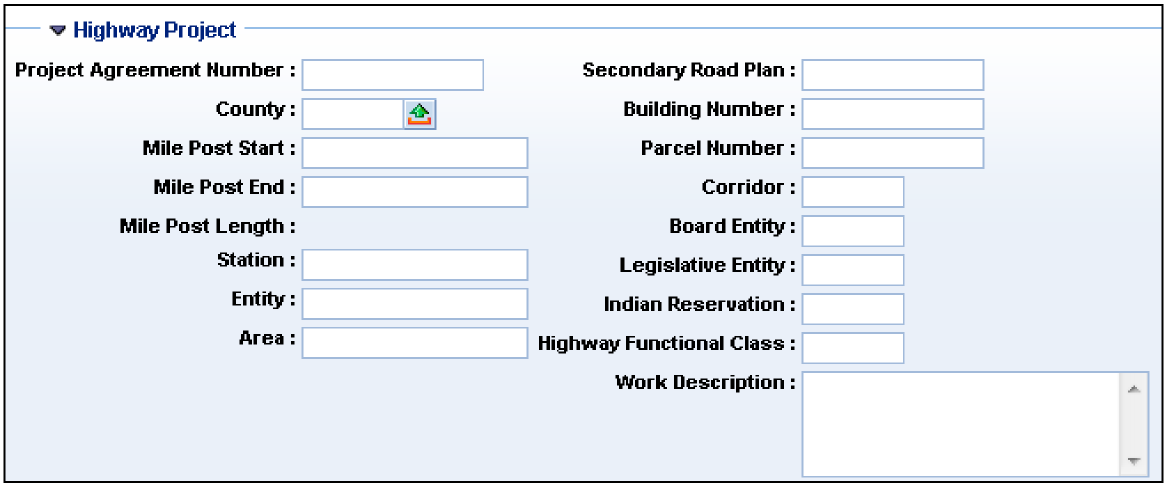


Description/Contact

Contact information may be entered at the Major Program level, the Program level, or both. Refer to department procedure.

Highway Project component

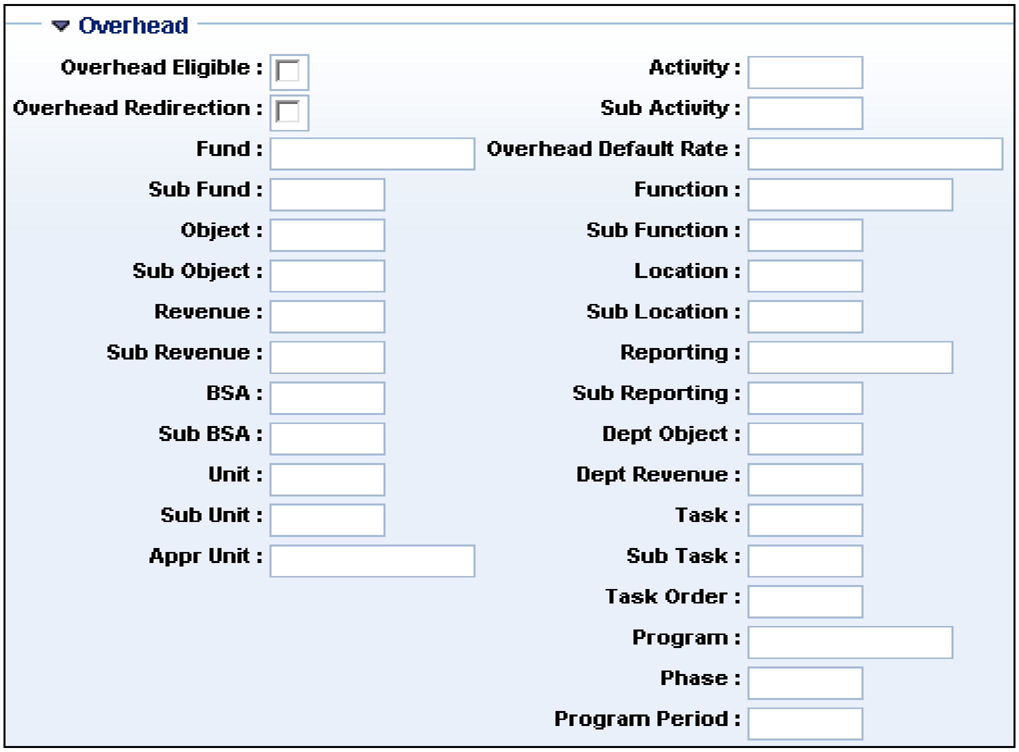
Highway project information can be recorded at the Major Program, Program, or Program Phase levels. The coding level used to track the Highway project information is determined by the department.



Overhead component

Eligibility for overhead charges is established at the Major Program level. Key fields in this component are:

- **Overhead Eligible** - This check box enables the use of the overhead process for cost accounting activities within this Major Program
- **Overhead Default Rate** - Enter the default overhead rate for the Major Program. This field is required if the Overhead Eligible check box is checked
- **Overhead Redirection** - This check box tells AFIS that the Chart of Accounts elements on source transactions will be overwritten with the elements entered in this component when the overhead charges are created by the system
    - Chart of Accounts fields left empty in this component do not change the value on the source transaction when the Overhead charge transaction is created
    - Chart of Accounts fields that have a code entered in this component will overwrite the source transaction Chart of Accounts element when the Overhead charge transaction is created
    - Chart of Accounts fields with BLNK entered will delete the source transaction Chart of Accounts element. The field will be blank on when the Overhead charge transaction is created



ACTIVITY 3.1:

View a Major Program record on MJPRG

Scenario

For this activity, you will view an entry on the Major Program (MJPRG) page for the fictitious AZ Expressway Project. This Major Program uses the automated reimbursement process.

Note: *Only a portion of the project is configured in this training course for purposes of clarity. In addition, some configuration may be included for instructional purposes and may not represent a typical project. The Appendix contains a schematic of this scenario's cost structure to use as a reference for this, and future, activities.*

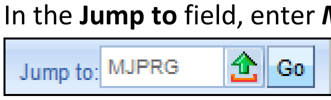
Setup

✓ User is logged into the AFIS training environment.

Steps

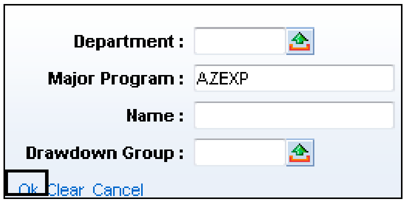
A. Navigate to the Major Program (MJPRG) page and search for the Major Program record for the AZ Expressway Project.

1. In the **Jump to** field, enter ***MJPRG***.



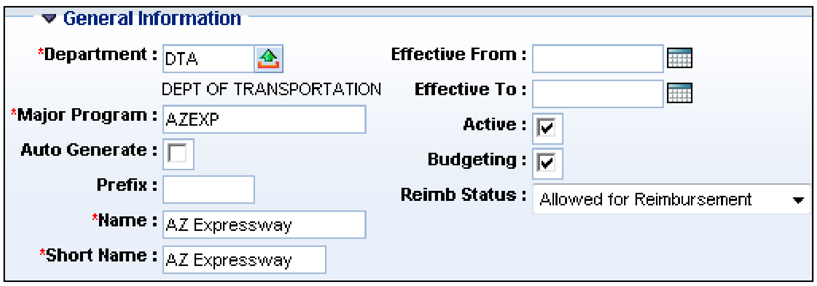
2. Click **Go.** The **Major Program** page is displayed.

3. Click **Search**. A search window is displayed.
4. In the **Major Program** field, enter ***AZEXP***.
5. Click **Ok**. The Major Program record for the AZ Expressway project is displayed in the grid.



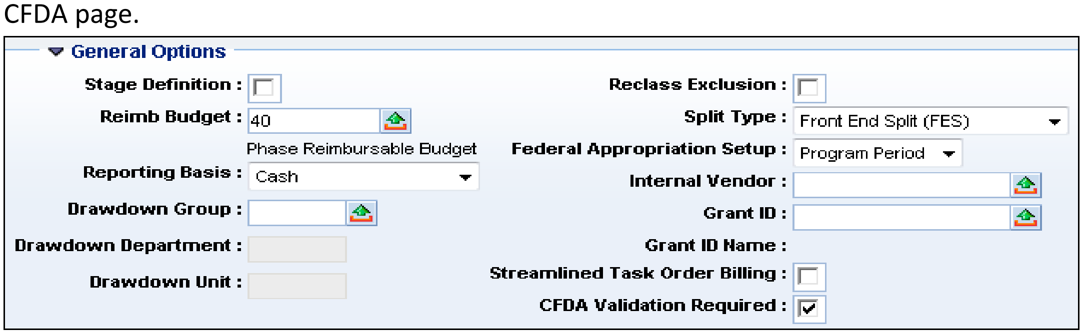
B. View information in the General Information component.

1. Notice the **Effective From** and **Effective To** date fields are blank.
2. In the **Reimb Status** field, notice **Allowed for Reimbursement** is the option selected.



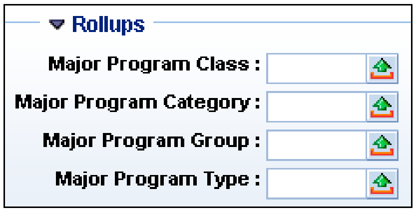
C. View the information in the General Options component.

1. Click the **General Options** component to expand it.
2. In the **Reimb Budget** field, notice Budget Structure **40** is the option selected since this is a Phase based budget. Budget Structure 39 is Program Period based.
3. In the **Reporting Basis** field, notice **Cash** is the option selected.
4. Notice the **Drawdown Group** field. This field is populated when a single drawdown request should be generated for multiple Major Programs using the automated reimbursement process.
5. In the **Split Type** field, notice **Front End Split (FES)** is selected.
6. In the **Federal Appropriation Setup** field, notice **Program Period** is the option selected.
7. Notice the **Grant ID** field. This field is populated with a Grant ID from the GLM module in AFIS, when a Major Program should be associated with a grant award. For this example, the Grant ID field is not populated.
8. Notice the **CFDA Validation Required** check box is checked. This instructs AFIS to ensure the CFDA Number entered on the Program Period or Funding Line record is a valid entry on the CFDA page.



D. View the Rollups component.

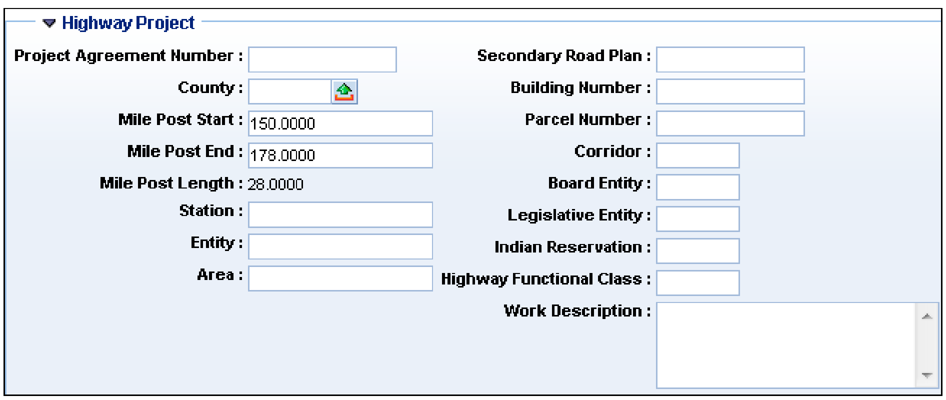
1. Click the **Rollups** component to expand it.
2. View the four rollup fields available at the Major Program level.



E. View the fields available in the Highway Project component.

> ***Note****: Highway project information can be recorded at the Major Program, Program, or Program Phase levels. The coding level used to track the Highway project information is determined by the department. For this example, the Highway Project information is recorded at the Major Program level.*

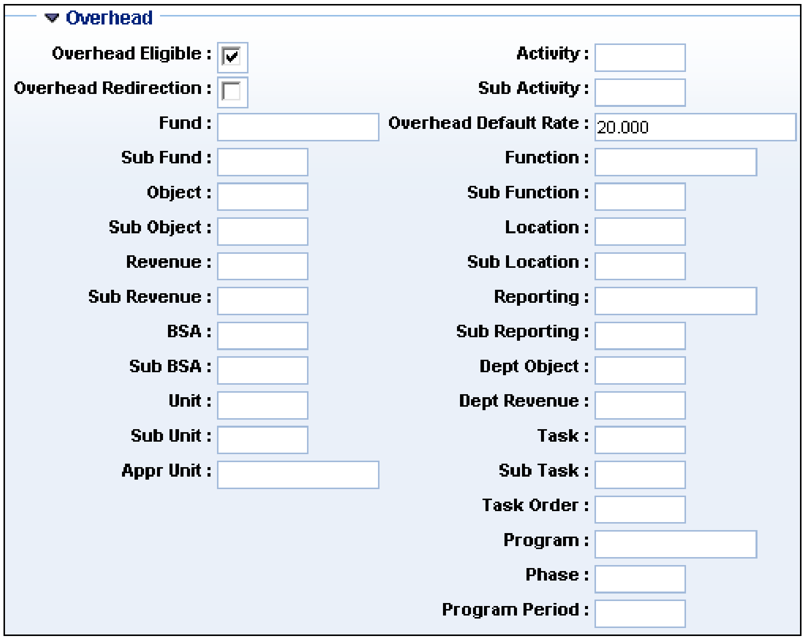
1. Click the **Highway Project** component to expand it.
2. Notice the values entered in the **Mile Post Start** and **Mile Post End** fields. The Mile Post Length field is calculated by AFIS.
3. Notice the additional fields available to capture information about projects. Values are entered in these fields based on department procedure.



F. View the fields available in the Overhead component, then click Home to return to the Home Page.

1. Notice the **Overhead Eligible** check box is checked. This indicates that overhead charges are authorized for at least some types of expenditures for this Major Program.
2. Notice the **Overhead Default Rate** is 20%. This rate may be overridden for specific Programs, Object codes, and/or Activity codes associated with this Major Program.

3. Notice the **Overhead Redirection Flag** is not checked.

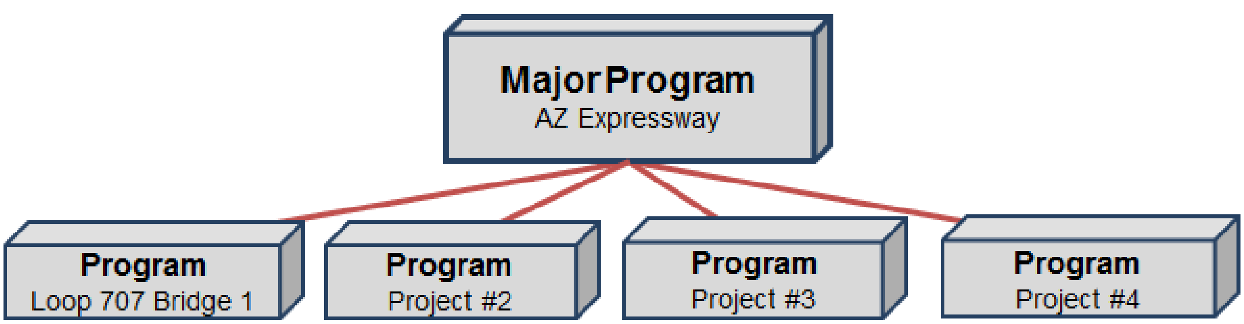


4. Click Home on the Primary Navigation Panel to return to the Home Page.

3.2. Program Setup

The Program is the primary cost accounting element in the cost structure. Programs are entered into AFIS in the Program Setup (PROG) page. The Program code generally identifies the individual projects or grants within the grouping which was established at the Major Program level. If the Major Program is established for an individual project or grant, then Programs are used to separate the project or grant into component parts. Figure 3 depicts this need:

Figure 3: Typical Major Program/Program Configuration for Capital Projects



An individual Program is assigned to only one Major Program. Each Major Program must have at least one Program, but normally has multiple Programs in its hierarchy.

Program Setup (PROG)

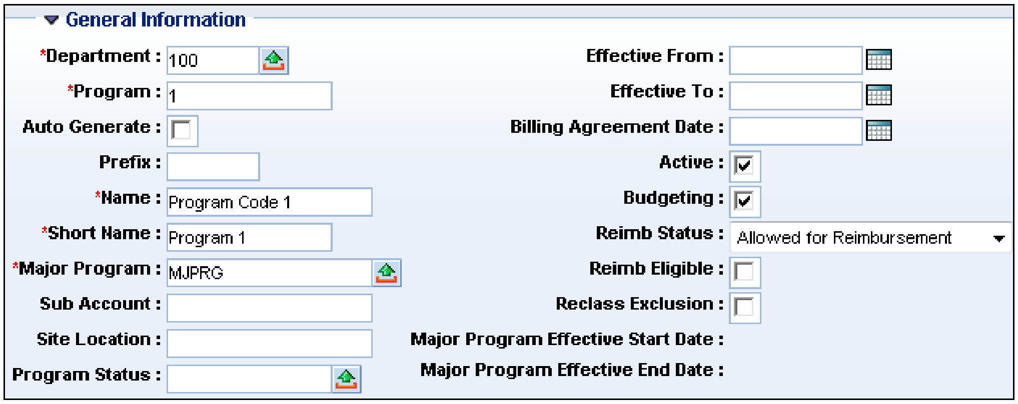
PROG contains the General Information component, the General Options component, the Rollups component, the Description/Contact component, the Highway Project component, the Fixed Asset Information component, and the Program Dates component.

General Information component

This component of the Program Setup (PROG) page associates the Program to the Major Program. Several fields from the MJPRG record are defaulted to the PROG record when the MJPRG code is entered, but can be overridden. Key fields in this component include:

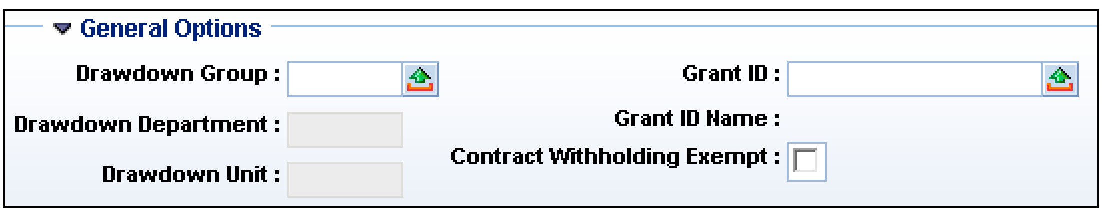
- **Program** - The unique ID code that identifies the Program. This identifies the project or the grant. The Program code may be assigned manually or auto generated by AFIS. The State will auto generate Program codes, so the Auto Generate check box should be checked. A PROG code will be assigned when the record is saved
- **Prefix** - Refer to department procedure. Valid entries in the Prefix field are:
    - Enter a valid prefix for the department, if established on the Cost Accounting Auto Numbering (AUTOCANO) page
    - Leave the field blank. If a default prefix is established on AUTOCANO for the department, it will be inferred. If a default prefix has not been established for the department, the Program code will be auto generated without a prefix
- **Program Status** - An optional field that is used to identify the status of a project or grant. Statuses available from the pick list are established on the Program Status (PSTAT) page
- **Effective From** and **Effective To** - These date fields are optional and typically remain blank. Effective dates for project and grant activity are normally controlled on the Program Period records
- **Billing Agreement Date** - Required if the Program is eligible for reimbursement. The Billing Agreement date determines when billing may start for a Program. For example, for grants, the Billing Agreement date is populated with the grant award date. A drawdown request for this Program will not be generated by the automated reimbursement process until on or after the Billing Agreement date. This field is also available on the Program Phase (PHPRG) page and can be entered there, if the authorization date for a Phase is different than the date entered on the Program. If either or both Effective Dates are entered, the Billing Agreement Date must be equal to either the Effective Date or within the range of Effective Dates
- **Reimb Status** - Select Allowed for Reimbursement for all projects and grants. If processing of the automated drawdown request should be suspended for any reason, select Suspended for Reimbursement
- **Reimb Eligible** - Tells AFIS whether the Program is participating in the automated reimbursement process
    - This check box should be checked for grants and for projects eligible for reimbursement and utilizing the automated reimbursement process
    - This check box should be unchecked for Programs ineligible for reimbursement

- **Reclass Exclusion** - This field indicates if posting lines that have this Program value are to be reclassified when the offline Reclassification Process is run. See Application Help and the Cost Accounting Run Sheets for additional information



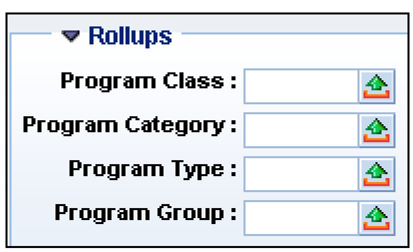
General Options component

- **Drawdown Group** - (optional) entered for projects and grants using the automated reimbursement process, when a single funding agreement covers more than one Program. Refer to Application Help for additional information on Drawdown Groups
- **Grant ID** - if the Grant ID is populated at the Major Program level, leave this field blank. If the Program level is the appropriate level to link to the grant, search for and select the Grant ID to which this Program will be associated



Rollups component

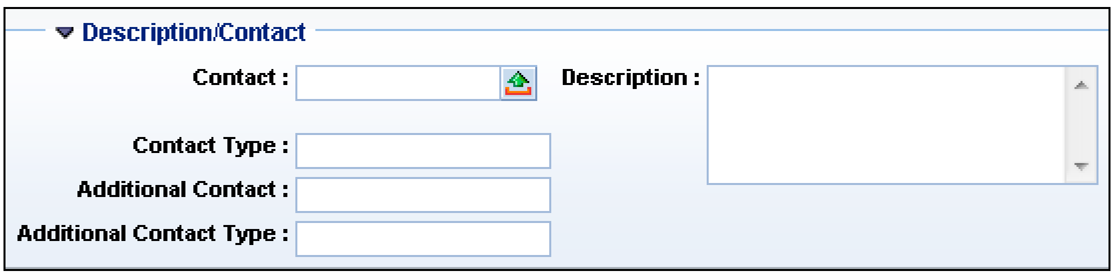
Fields in the Rollups component may be populated, if needed, for State or department reporting purposes.



Description/Contact component

Fields in the Description/Contact component are used to identify the manager and/or the first point of contact for the project or grant and are populated according to department procedure. Fields available in this component are:

- **Contact** - names available from the pick list in this field are established on the Contact (CNTAC) page. The name selected in this field may be the manager or the first point of contact
- **Contact Type** - used to enter the position or type of contact for the individual identified in the Contact field
- **Additional Contact** - used to enter an additional contact name. This field is not associated with the Contact page
- **Additional Contact Type** - used to enter the position or type of contact for the individual identified in the Additional Contact field
- **Description** - used to enter additional information

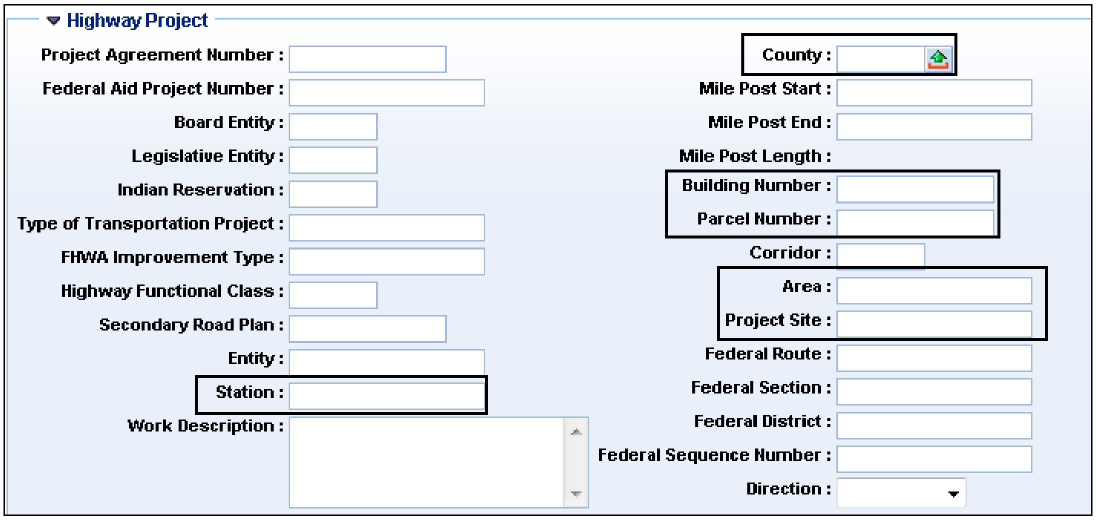


Highway Project component

The fields in the Highway Project component are available on the Major Program, Program, and Program Phase pages. If the Federal Agreement information varies between one or more program phases, it is typically entered on the Program Phase page. These fields are used to identify where a project is happening and what type of project it is. Refer to department procedure for the specific use of each field.

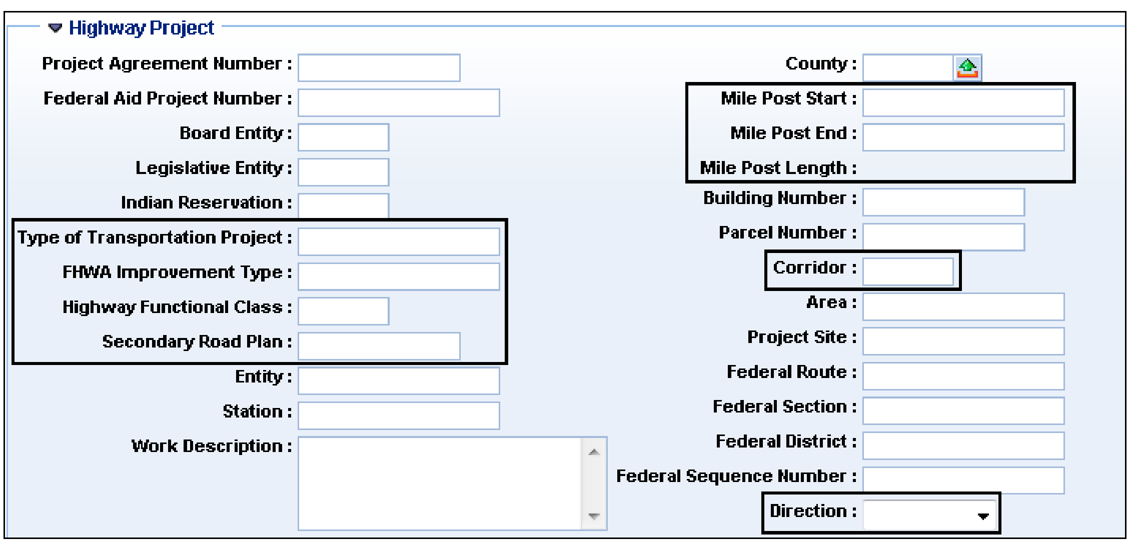
Generic fields in this component can be used to identify the location of the project:

- Station
- County
- Building Number
- Parcel Number
- Area
- Project Site - can be used to enter any information about the site of a project that is not captured in another field



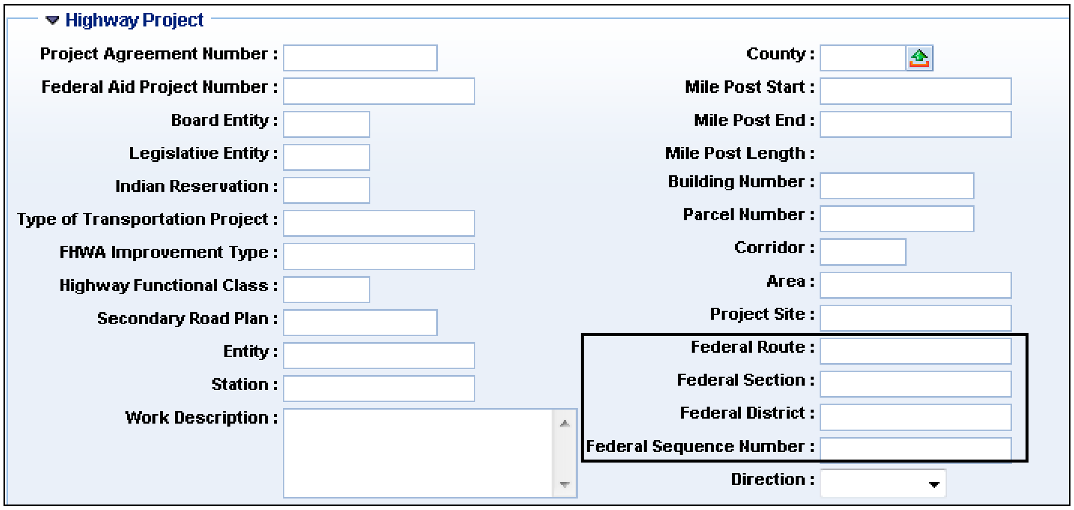
Some fields are specific to roadway projects:

- Type of Transportation Project
- FHWA Improvement Type
- Highway Functional Class
- Secondary Road Plan
- Mile Post Start
- Mile Post End
- Mile Post Length (auto populated by AFIS)
- Corridor
- Direction



Key fields for Federally-funded projects include:

- Federal Route
- Federal Section
- Federal District
- Federal Sequence Number

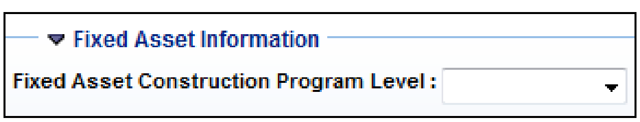


Fixed Asset Information component

The optional Fixed Asset Construction Program Level field is used to enable the Program Asset Generation process. This process automates the creation, management, and recognition of capital balances with regard to construction projects. This process will generate fixed asset documents that increase the dollar value, change the Fixed Asset Type, and cancel Fixed Asset Components.

The Fixed Asset Construction Program Level field identifies the level at which assets will be created: Program or Program Phase. Guidance for completion of this field is as follows:

- Select Program if costs for all Phases of a project are eligible for capitalization to a single asset
- Select Program Phase if costs for only some Phases of a project are eligible for capitalization or each phase need to be capitalized separately
- Leave the field blank if the Program Asset Generation process will not be used for the Program (costs from the Program should not be associated with a Fixed Asset record)



Program Asset Generation Process

The Program Asset Generation process provides a relationship between a construction project and a capital fixed asset, including betterments. Key features of the process include those listed below.

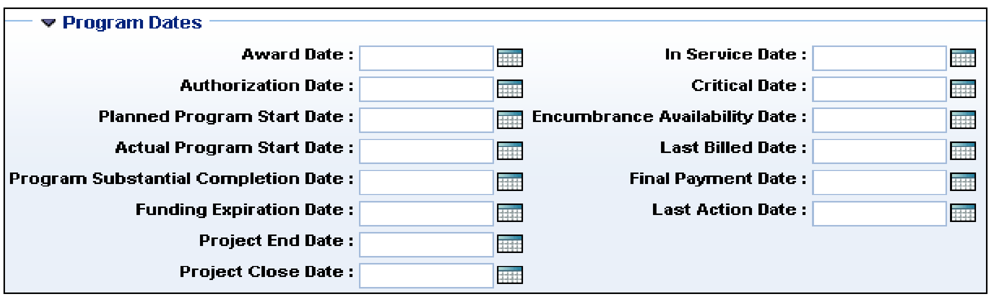
- Automatically loads accumulated costs to the value of the fixed asset on a periodic basis
- Accumulates only eligible project costs based on object code, activity code, and posting code
- Provides the ability to review the project costs and adjust if necessary prior to posting to a fixed asset
- Provides the ability to see all fixed assets and accumulated costs associated with a project

See Application Help and the Cost Accounting Run Sheets (available in the User Guide Download section of Application Help) for additional information on the Program Asset Generation process.

Program Dates component

The fields in the Program Dates component are typically used to record and report on project milestone dates. The fields available are illustrated in Figure 4 and are populated according to department procedure.

Figure 4: Milestone Date Fields in the Program Dates Component



ACTIVITY 3.2

View an Existing Program

Scenario

View a record on the Program Setup (PROG) page established for the Loop 707 Bridge 1 component of the AZ Expressway Project. This program will utilize the automated reimbursement process in AFIS.

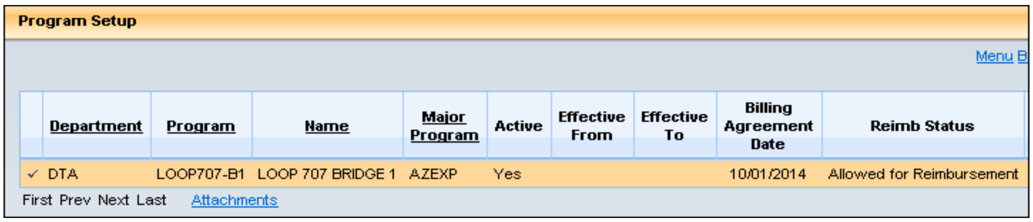
Setup

- ✓ User is logged in to the AFIS Home Page.
- ✓ The Major Program record for the AZ Expressway Project has been established.

Steps

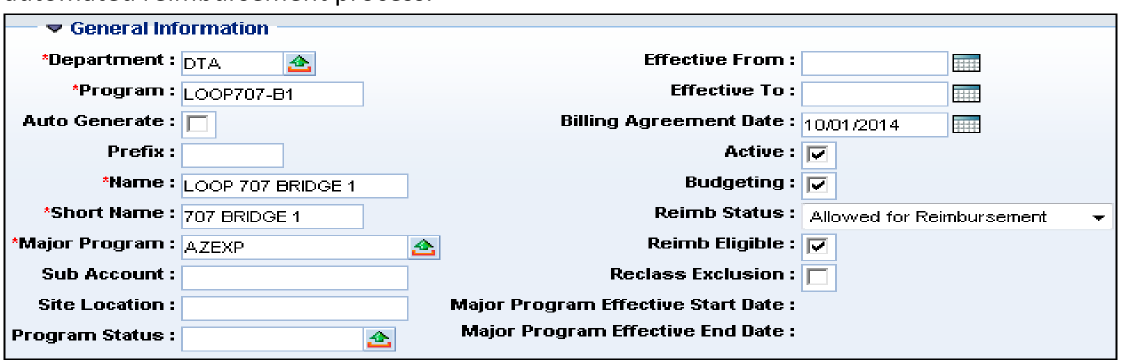
A. Navigate to the Program Setup (PROG) page and view a Program record established for the Loop 707-Bridge 1 component of the AZ Expressway Project.

1. In the **Jump to** field, enter ***PROG*.**
2. Click **Go.** The **Program Setup** page is displayed.
3. Click **Search**. A search window is displayed.
4. In the **Program** field, enter ***LOOP707-B1***.
5. Click **Ok**. The Program record for the Loop 707-Bridge 1 project is displayed in the grid.



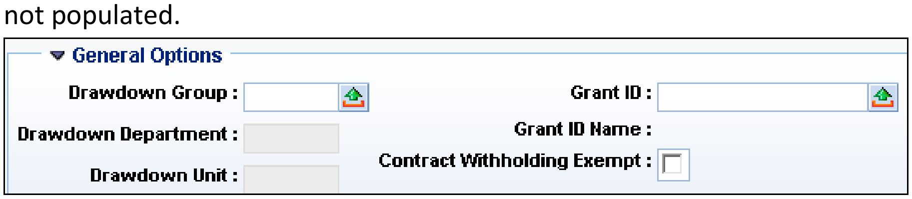
B. View information in the General Information component.

1. Click the **General Information** component to expand it.
2. Notice the **Effective From** and **Effective To** date fields are blank, but the **Billing Agreement Date** field is populated.
3. Notice the **Reimb Status** field indicates the Program is allowed for reimbursement.
4. Notice the **Reimb Eligible** check box is checked, indicating this Program is utilizing the automated reimbursement process.



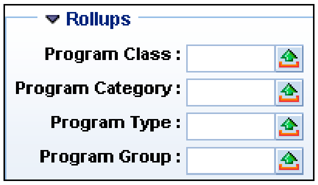
C. View information in the General Options component.

1. Click the **General Options** component to expand it.
2. Notice the **Drawdown Group** field. This field is populated when a single drawdown request should be generated for multiple Programs using the automated reimbursement process.
3. Notice the **Grant ID** field. This field is populated with a Grant ID from the GLM module in AFIS, when a Program should be associated with a grant award. For this example, the Grant ID field is not populated.



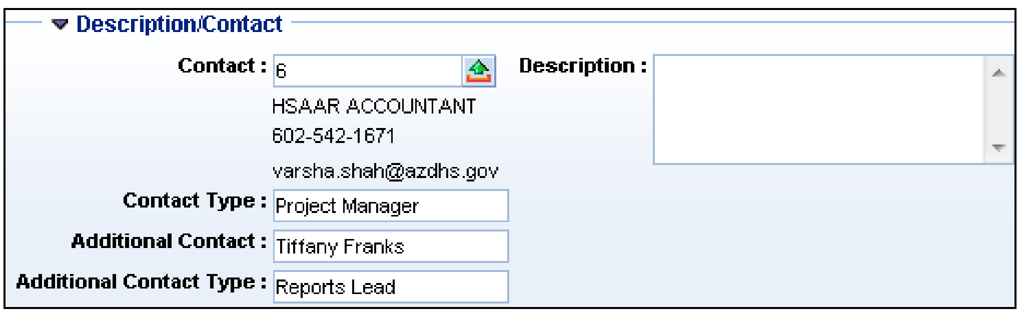
D. View information in the Rollups component.

1. Click the **Rollups** component to expand it.
2. Notice the four levels of rollup available to support State and department reporting needs.



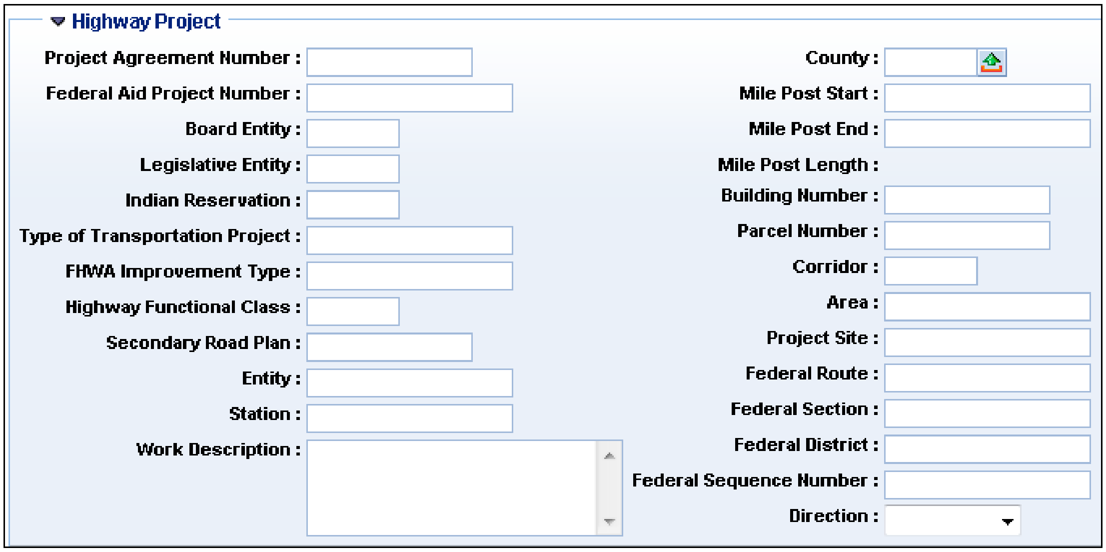
E. View the information in the Description/Contact component.

1. Click the **Description/Contact** component to expand it.
2. In the **Contact** field, notice a name has been selected from the pick list.
3. In the **Contact Type** field, notice that **Project Manager** has been entered to identify the role of the individual selected in the Contact field.
4. In the **Additional Contact** field, notice a second name has been entered.
5. In the **Additional Contact Type** field, notice that the Additional Contact has been identified as the Reports Lead.



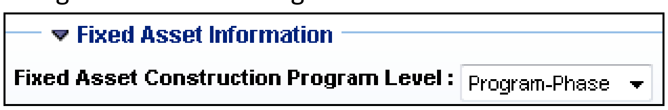
F. View the information in the Highway Project component.

1. Click the **Highway Project** component to expand it.
2. Notice the **County, Area, Station, Building Number, Parcel Number**, and **Project site** fields that are available to identify the location of a project.
3. Notice the **Mile Post Start, Mile Post End, Mile Post Length** (auto populated by AFIS), **Corridor, Highway Functional Class, Direction, Type of Transportation Project,** and **FHWA Improvement Type** fields that are used to capture information about roadway projects.
4. Notice the **Federal Route, Federal Section, Federal District**, and **Federal Sequence Number** fields that are used to capture information about Federally-funded projects.



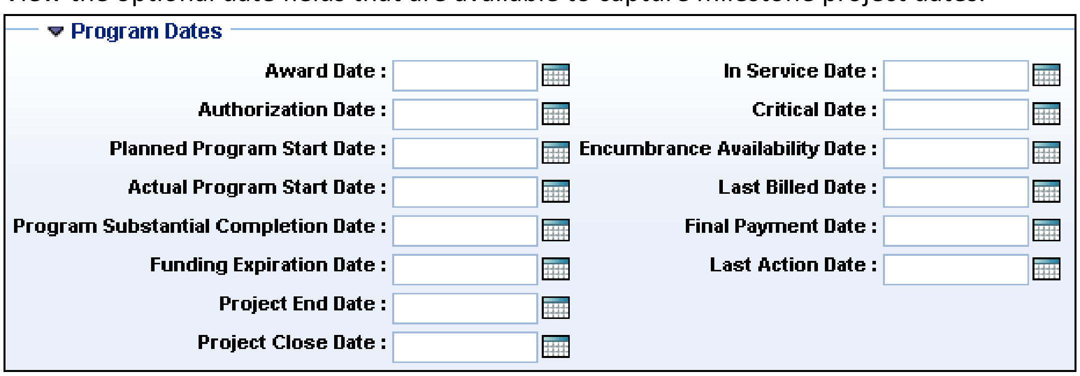
G. View the information in the Fixed Asset Information component.

1. Click the **Fixed Asset Information** component to expand it.
2. In the **Fixed Asset Construction Program Level** field, click the drop down arrow to view the two levels available to link a fixed asset record with the cost structure. The costs for this Program are being tracked at the Program-Phase level.



H. View the information in the Program Dates component, then return to the Home Page.

1. View the optional date fields that are available to capture milestone project dates.

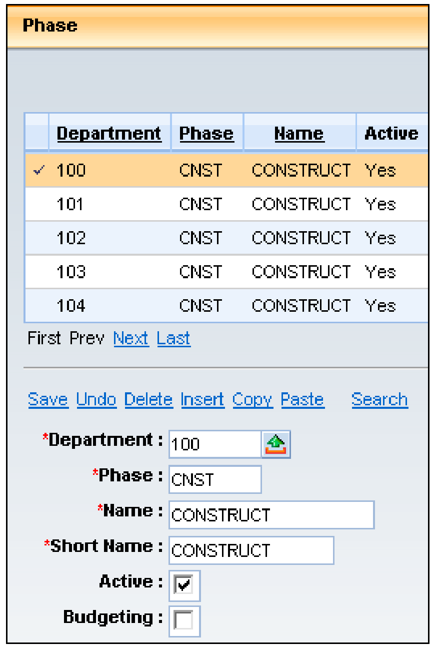


2. Click **Home** on the Primary Navigation Panel to return to the Home Page.

3.3. Phase and Program Phase

Phase (PHASE)

The Phase element is utilized for projects to capture financial transactions by different stages. Examples of common phases for projects are scoping, design, and construction. Phase codes can be used across all Programs within an individual Department, and are not unique to a single Program. Phases have been established by departments that are using this element and generally do not change over time. Unlike other elements, Phases do not have date or processing controls associated with them, but Phases are utilized in establishing and controlling budgets for projects. Project budgets are covered in more detail in the Cost Accounting Budget Structures lesson.



Program Phase (PHPRG)

To utilize a Phase for a specific Program, the Phase must be associated to the Program on the Program Phase (PHPRG) page. More than one Program Phase can be associated to a Program. Add as many Phases as needed for the Program.

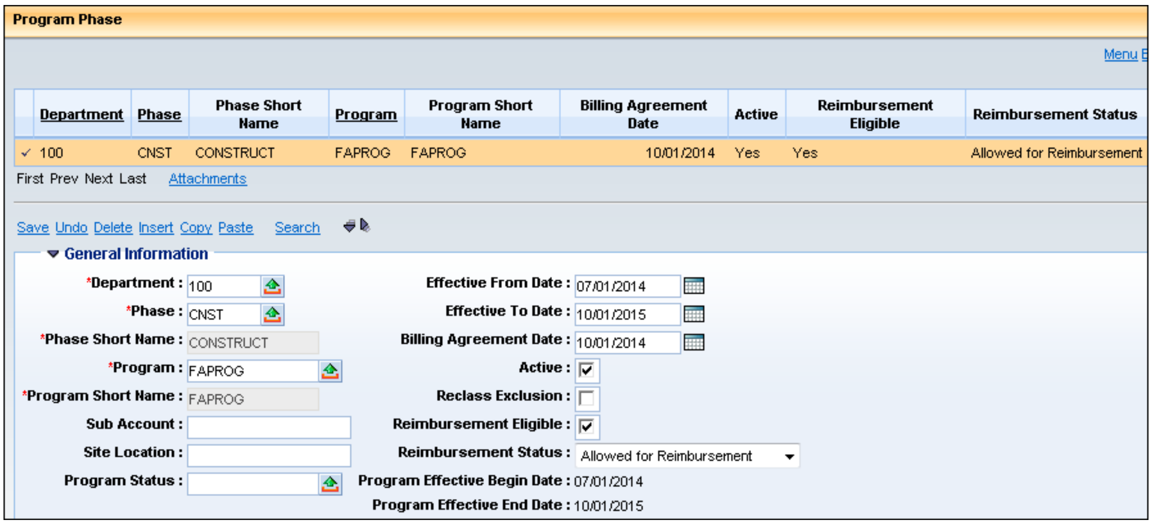
General Information component

Key fields in this component are listed below.

- **Phase** - Select an existing Phase from the pick list
- **Program** - Select an existing Program from the pick list
- **Effective From** and **Effective To** - control when AFIS allows transactions to be created for the Program Phase. These optional dates may be entered for the Phase, if required by department procedure
- **Billing Agreement Date** - required if the Program Phase is eligible for reimbursement. The date is inferred from the Program; however, a later date may be entered on PHPRG, if appropriate for the Phase. The Billing Agreement Date determines when billing may start for a Program Phase. A drawdown request for the Program Phase combination will not be generated by the automated reimbursement process until on or after the Billing Agreement date
- **Reimbursement Eligible** - tells AFIS whether the PHPRG is using the automated reimbursement or front end split process. The setting for this check box is inferred from the Program component but may be changed

  - This check box should be checked for projects utilizing the AFIS automated reimbursement or front end split process
  - This check box should be unchecked for projects not utilizing the AFIS automated reimbursement or front end split process

- **Reimbursement Status** - select Allowed for Reimbursement for all projects. If processing of the automated drawdown request should be suspended for any reason, select Suspended for Reimbursement



Highway Project component

The fields in the Highway Project component are available on the Major Program, Program, and Program Phase pages, and are entered according to department procedure. If the Federal Agreement information varies between one or more program phases, it is typically entered on the Program Phase page. See Topic 3.2 Program Setup for additional information about the fields in this component.

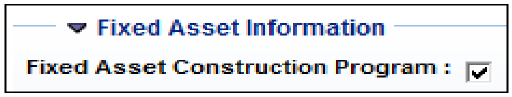
Fixed Asset Information component

The Fixed Asset Construction Program Level field is optional and used to enable the Program Asset Generation process. As mentioned in the Program Setup topic, this process automates the creation, management, and recognition of capital balances, with regard to projects. The process will generate fixed asset documents that increase the dollar value, change the Fixed Asset Type, and cancel Fixed Asset Components. The Fixed Asset Construction Program Level field may be enabled at either the Program or Program Phase levels.

- If Program or (blank) is selected in the Fixed Asset Construction Program Level on the Program Setup page, then the Fixed Asset Construction Program Level field on the Program Phase page must be unchecked

- If Program/Phase is selected in the Fixed Asset Construction Program Level on the Program Setup page, then the Fixed Asset Construction Program Level field on the Program Phase page may be checked. This field should be checked if the costs from that Phase should be capitalized; unchecked if the costs from the Phase should not be capitalized

- Leave the field blank, if the Program Asset Generation process will not be used for the Program (costs from the Program should not be associated with a Fixed Asset record)



ACTIVITY 3.3

View an Existing Phase and Program Phase

Scenario

View the existing Phases for the ADOT. View the Engineering Phase associated with the Program for the Loop 707-Bridge 1 project. For the purposes of this scenario, only the Engineering Phase of this project has been established.

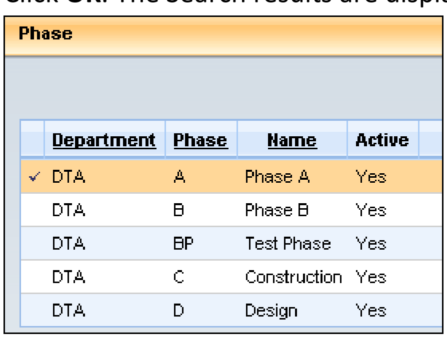
Setup

- ✓ User is logged in to the AFIS Home Page.
- ✓ The Major Program and Program records have been established.
- ✓ The Engineering phase for Department has been established.

Steps

A. Navigate to the Phase (PHASE) page and view the existing Phases for Department.

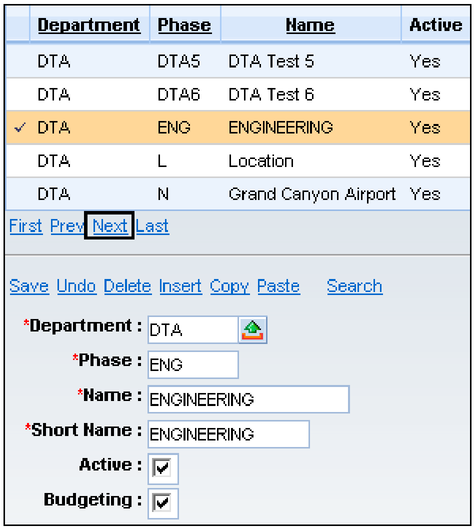
1. In the **Jump to** field, enter ***PHASE***.
2. Click **Go.** The **PHASE** page is displayed.
3. Click the **Search** link. The Search window is displayed.
4. In the **Department** field, enter ***DTA.***
5. Click **OK**. The Search results are displayed in the grid.



Phase

Department	Phase	Name	Active
✓ DTA	A	Phase A	Yes
DTA	B	Phase B	Yes
DTA	BP	Test Phase	Yes
DTA	C	Construction	Yes
DTA	D	Design	Yes

6. Under the grid, click the **Next** link, twice, to navigate to the Engineering (ENG) Phase.
7. In the grid, click **Engineering (ENG)** Phase. Notice the details for the phase displayed in the lower section of the screen.

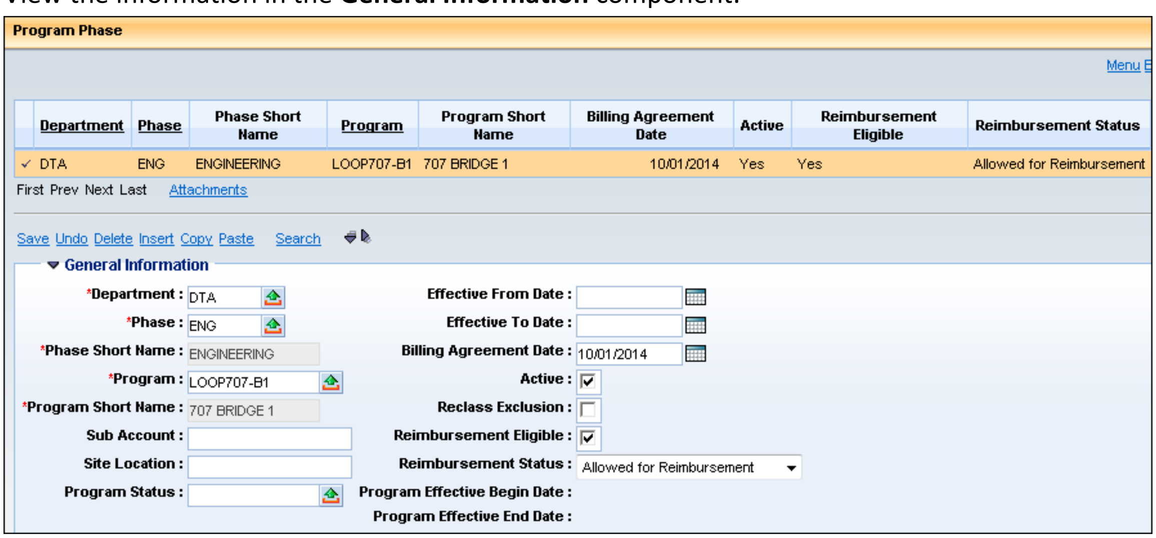


B. Navigate to the Program Phase (PHPRG) page.

1. In the **Jump to** field, enter ***PHPRG***.
2. Click **Go.** The **Program Phase** page is displayed.

C. View the record created on PHPRG to associate the Engineering Phase to the Program record for the Loop 707-Bridge 1 component of the AZ Expressway Project, then return to the Home Page.

1. Click **Search**. A Search window is displayed.
2. In the **Phase** field, enter ***ENG***.
3. In the **Program** field, enter ***LOOP707-B1***.
4. Click **Ok.** The Engineering Phase record for the Loop 707-Bridge 1 Project is displayed.
5. View the information in the **General Information** component.



6. Click the **Fixed Asset Information** component to expand it.

7. Notice the **Fixed Asset Construction Program** field is checked, indicating that costs accumulated for this Program/Phase combination are being tracked.

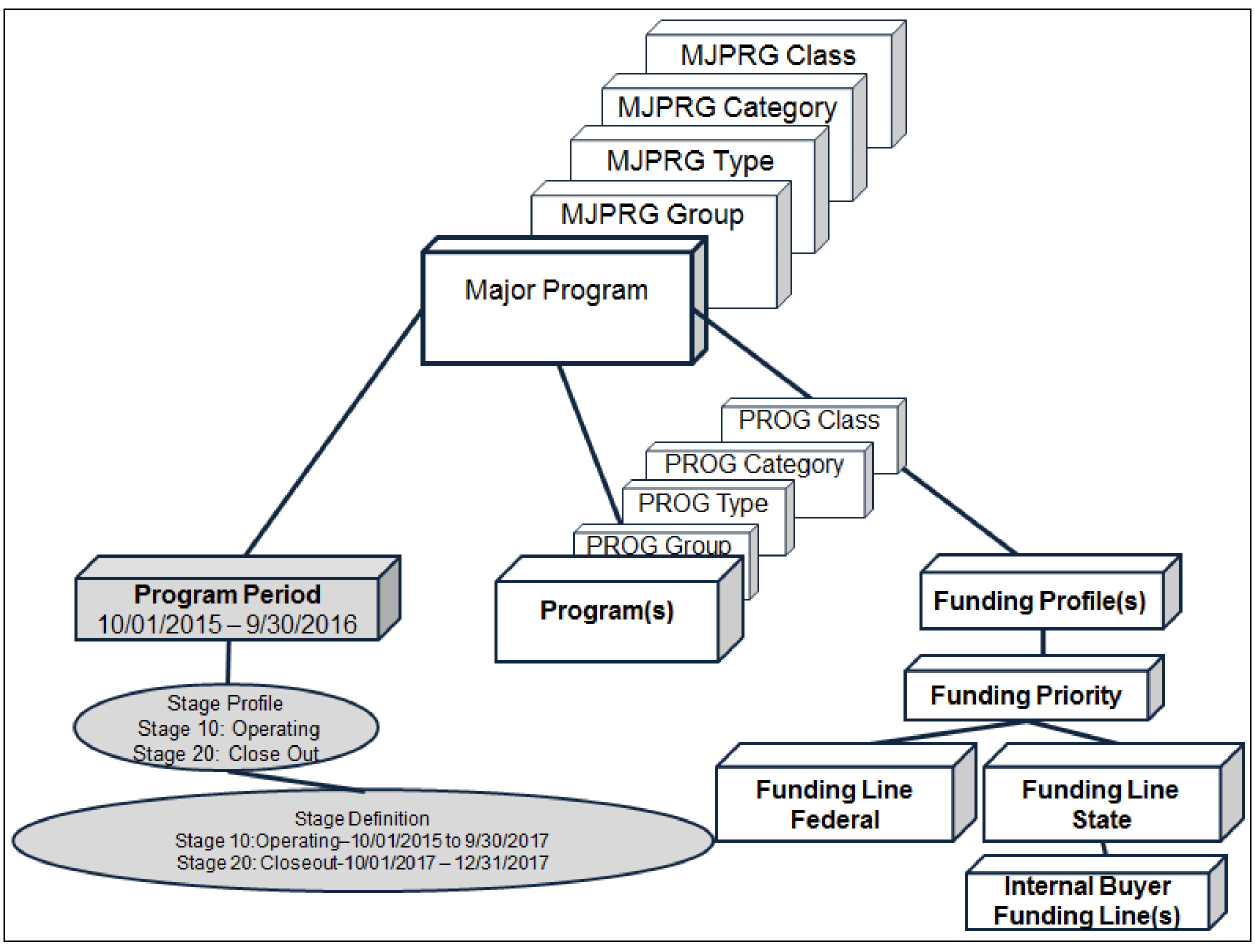
8. Click **Home** on the Primary Navigation Panel to return to the Home Page.

3.4. Overview of the Program Period Hierarchy

In AFIS, the Program Period is the element that is used to identify time periods for grants and projects. Often it is used to establish an award period or fiscal year. Program Periods can be segregated into more discrete time periods by Stage Profiles. Stage Profiles also provide the ability to control the type of financial transactions that can be initiated within a given date range. Finally, Stage Definitions capture the actual date ranges for each Stage, within the Stage Profile.

Figure 5 illustrates the Program Period hierarchy within the larger cost Structure.

Figure 5: Program Period Hierarchy with the Cost Structure



Next we will look in detail at each of these components of the Program Period hierarchy.

3.5. Establish a Stage Profile

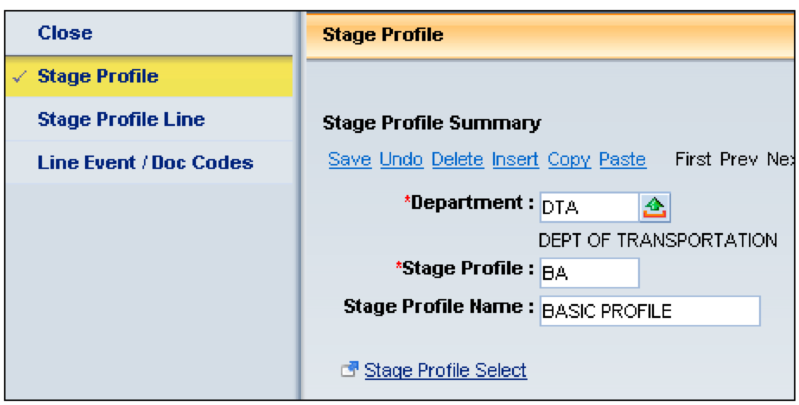
Although the Program Period, Stage Profile, and Stage Definitions are often displayed in a hierarchical structure, the Stage Profile is actually created first.

Stage Profiles establish standardized time frames to be used in association with a Program Period and are most commonly used for grants. The time frames within a Stage Profile are called Stage Profile Lines or Stages. Stage Profiles and their associated Stages are given the unique date parameters specific to an individual grant award period through the completion of Stage Definitions. The same Stage Profile may be used for multiple grants within a Department as long as the time period requirements and restrictions are identical.

The Stage Profile is established on the Stage Profile Select (STPFST) page. A Stage Profile consists of three components: the Stage Profile Summary, the Stage Profile Lines, and the Line Events/Document Codes.

Stage Profile Summary Component

The Stage Profile Summary identifies the department associated with the Stage Profile, establishes a two-character Stage Profile code and a Stage Profile Name.

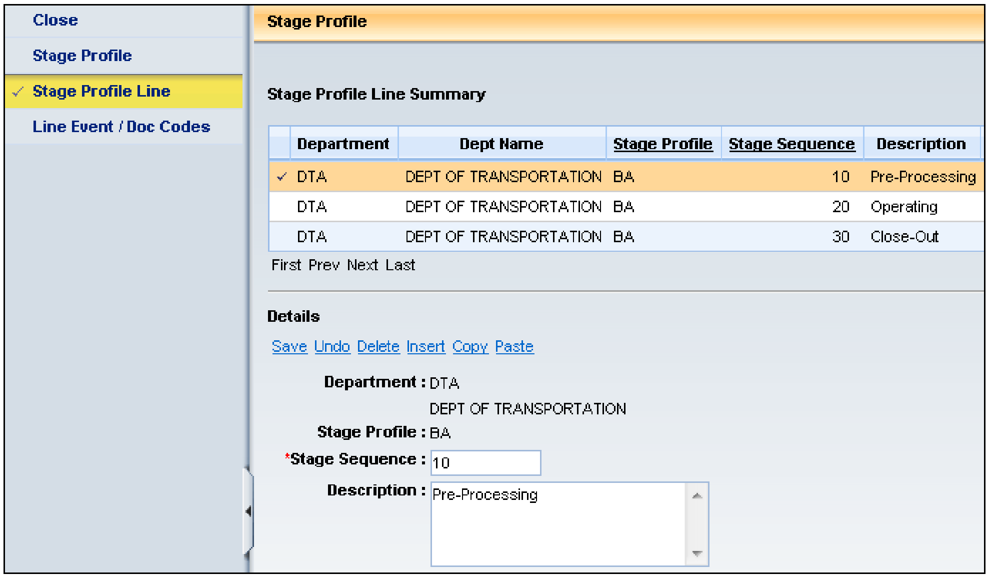


Stage Profile Line Component

The Stage Profile Lines are often referred to as Stages. The Stages are used to define time periods within a Program Period that have unique requirements for allowed financial events and/or document processing. In this component, the Department and Stage Profile fields are inferred from the Stage Profile Summary component. The fields used to define a Stage are:

- **Stage Sequence** - This field governs the order in which Stages are displayed in AFIS on the Stage Definition page
- **Description** - This field is a free form field used to define the Stage

Unique controls can be setup for each stage; therefore, the number of stages established for a grant depends on the transactional restrictions established in the grantor's Notification of Award. Common stages for grants are Pre-Processing, Operating, and Closeout. More stages can be created if there is a need to control financial transactions in more detailed time periods.



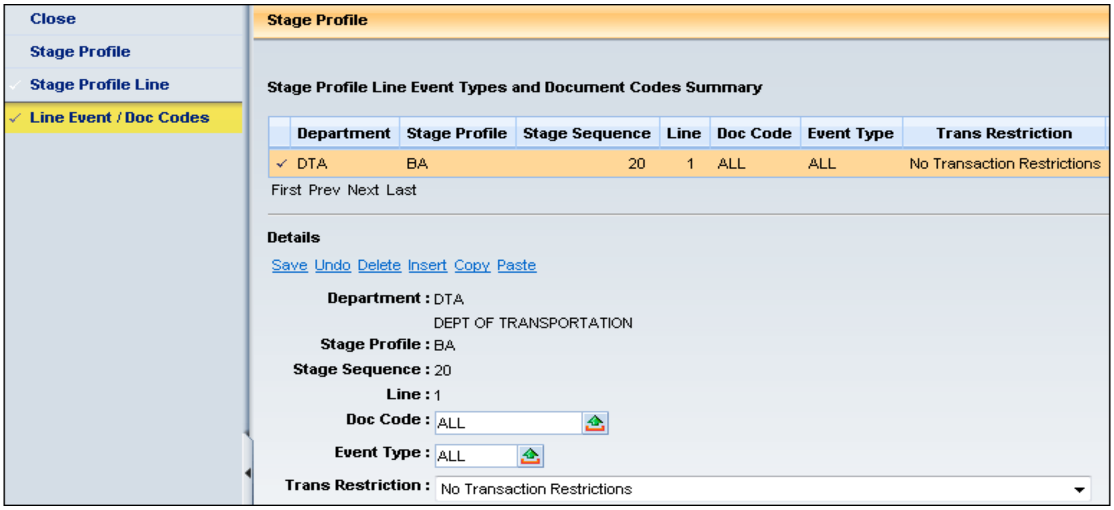
AFIS determines the Stage that applies to a transaction based on the program period inferred from the record date of the document.

It is best practice to establish Stage Sequences with gaps in numbering to allow later insertion of additional Stages, if necessary. Most often Stages are numbered 10, 20, 30, etc.

Stage Profile Line Events and Document Codes Component

The Stage Profile Line Events and Document Codes are used to specify the accounting events and documents either allowed or restricted during each Stage. The fields available to define allowed or restricted transactions are as follows.

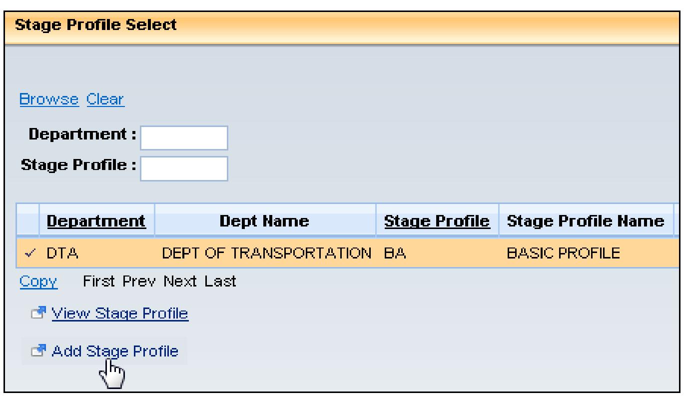
- **Doc Code** - This field defines the document code that should be allowed or restricted; you may use ALL to include all document codes
- **Event Type** - This field defines the event types for the specific document code that should be allowed or restricted; you may use ALL to include all event types
- **Trans Restriction** - The options for the doc code/event type combination are: No Transaction Restrictions, Restricted to Referencing Transactions, Restricted to Modification Transactions, and Restricted to Referencing and Modification Transactions



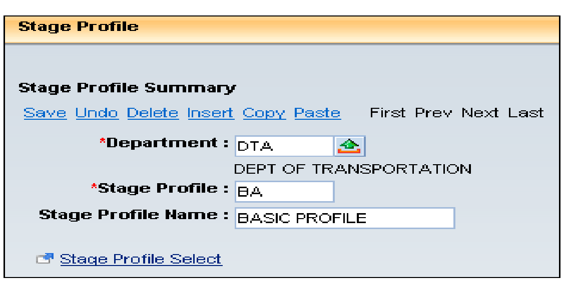
For example, during an unrestricted Operating Stage or benefit period, all document codes and event types are allowed. During the Closeout Stage, new cash transactions are not allowed; however, non-encumbrance documents such as a Journal Voucher or a payroll document may be created. In addition, transactions that reference or modify an existing transaction are allowed.

At this time, the State is not using Stage Profiles, but for future reference, the steps necessary to create a Stage Profile are as follows:

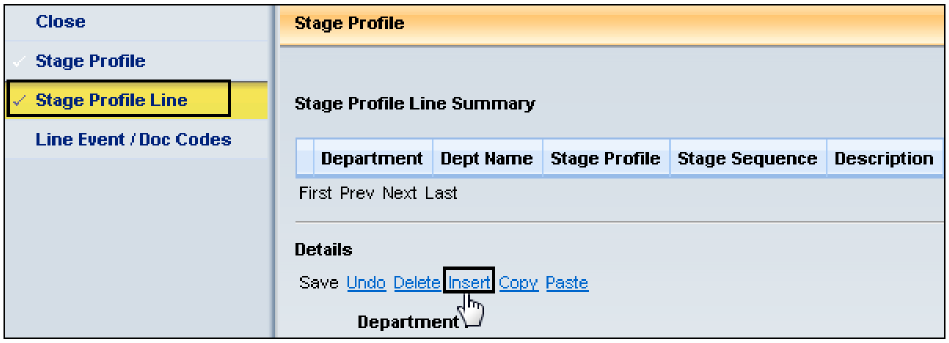
1. Navigate to the Stage Profile Select (STPFST) page.
2. Click the Add Stage Profile link.



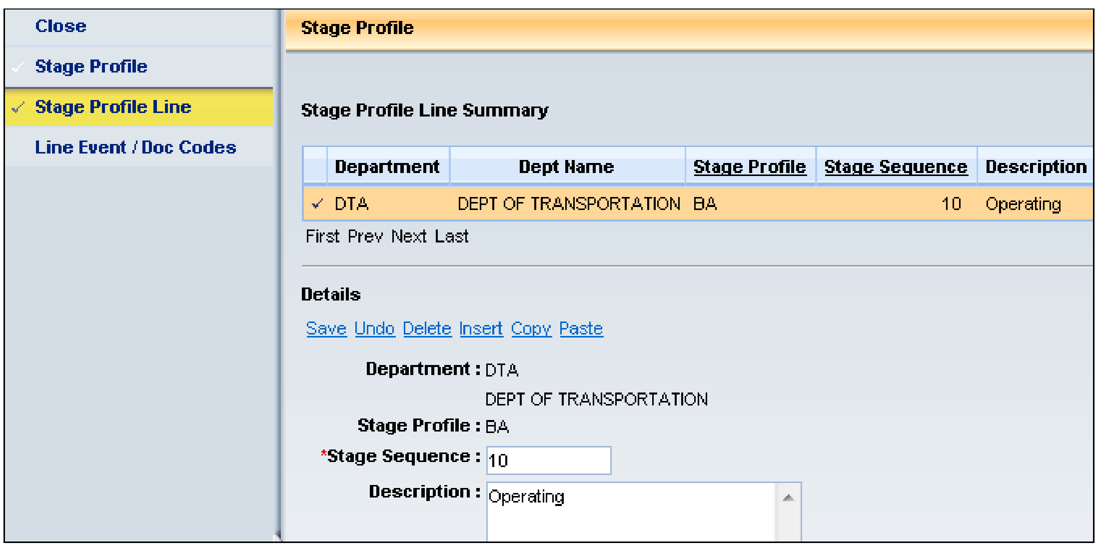
3. Enter the Department code.
4. Enter a two character Stage Profile code and the Stage Profile name.



5. On the Secondary Navigation Panel, click Stage Profile Line.
6. Click the Insert link. A line is added to the grid.

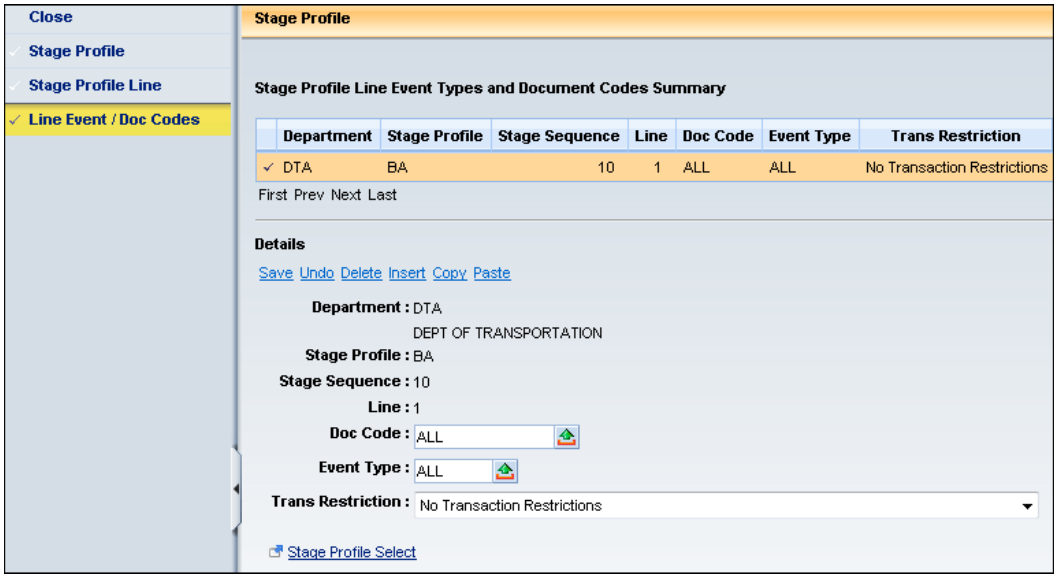


7. In the Stage Sequence field, enter a numeric code (for example, 10).
8. Enter a description of the Stage (for example, Operating).
9. Click Save.



10. Repeat for additional Stage Profile Lines.
11. In the Stage Profile Line grid, select the Stage that requires Line Event/Doc Code restrictions/allowances.
12. On the Secondary Navigation Panel, select Line Event/Doc Codes.
13. Click the Insert link.
14. In the Doc Code field, enter the document code that will have restrictions or allowances. Enter ALL if all document codes will have the same controls.
15. In the Event Type field, enter the Event Types that will be restricted or allowed. Enter ALL if all event types will have the same controls.
16. From the Trans Restriction pick list, select the appropriate control.

17. Click Save.



18. Repeat as necessary to establish the desired controls.

19. Navigate to the Stage Profile Line component to select the next Stage that requires controls, then return to the Line Event/Doc Codes component and repeat steps 12 through 17 to enter controls for the remaining Stages.

20. Click Save.

21. Click Close.

22. Click Home.

3.6. Establish a Program Period

In AFIS, the Program Period is the element used to identify the award period or fiscal year. The Program Period is inferred on a financial transaction based on the document record date. This inference was established in the Reporting Basis field on the Major Program record for the grant or project.

Program Period (PPC)

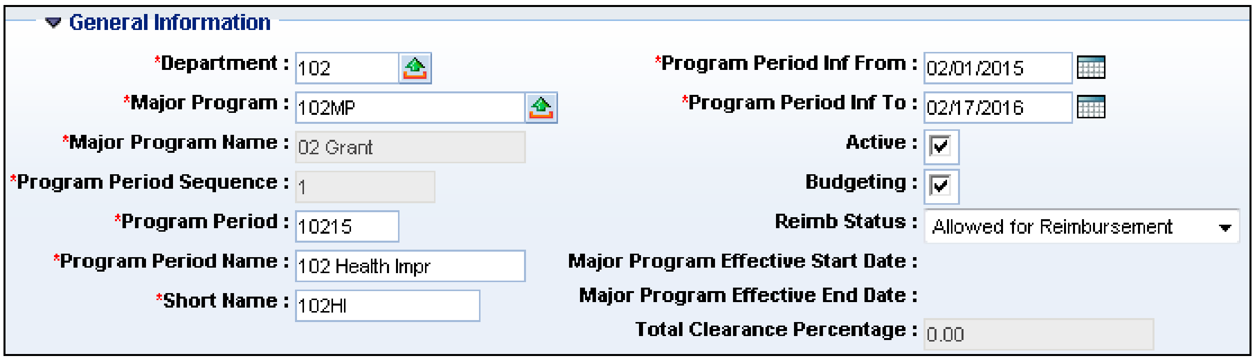
The Program Period is established on the Program Period (PPC) page. The page contains four components: General Information, General Options, Contact/Description, and Funding Identification.

General Information Component

The General Information component associates the Program Period with the Major Program that identifies the grant or project.

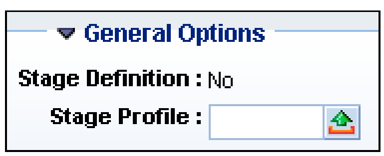
- **Department** - Enter or select the Department code for the Department associated with the Major Program

- **Major Program** - Enter or select the Major Program code to be associated with the new Program Period. The Major Program Name will be inferred from MJPRG when the record is saved
- **Program Period** - Enter a Program Period code
- **Program Period Name** and **Short Name** - Enter a Program Period Name and Short Name
- **Program Period Inf From** and **Program Period Inf To** - These date fields are used to define the beginning and ending dates of the award period or fiscal year. This date range is typically a one year period, but may be a two year period for grants that are awarded every two years. It is important to note that if there are multiple entitlement years open, the inference dates cannot overlap
- **Reimb Status** - Select Allowed for Reimbursement for all projects and grants. If processing of the automated drawdown request should be suspended for any reason, select Suspended for Reimbursement



General Options Component

When Stage Profiles are used, the Stage Profile field in the General Options component is used to identify which Stage Profile is used with this Program Period. The Stage Definition field is populated by AFIS based on the setting in the Stage Definition check box on the Major Program.



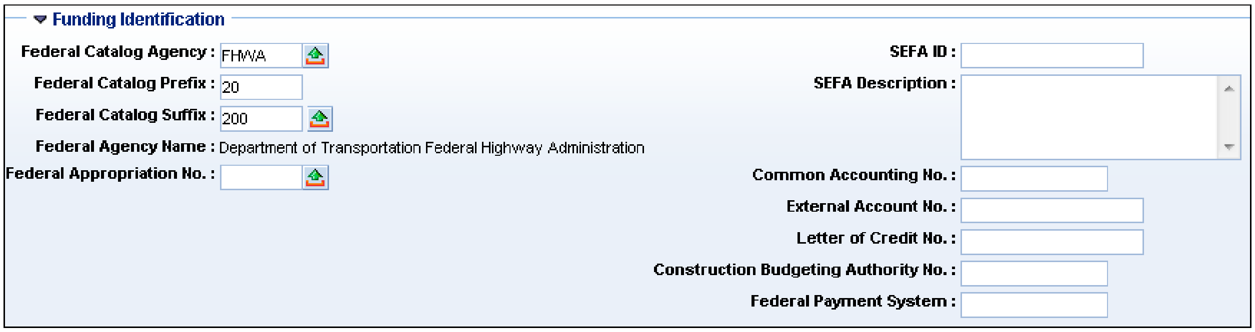
> ***Note**: If the Stage Definition check box is left unchecked when the Major Program is established, the user is not allowed to enter a Stage Profile for the Program Period.*

Description/Contact Component

The Contact field may be used to identify who to contact for additional information about the Program Period record.

Funding Identification Component

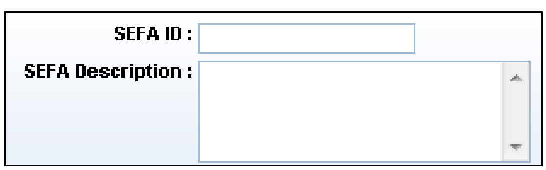
This component is used to capture funding information about the project or grant. As mentioned earlier in this lesson, the Federal Appropriation Setup field on the Major Program record instructs AFIS to look for funding information either at the Program Period or Funding Line levels. Normally, this information will be entered here on the Program Period page.



The CFDA number is identified using the Federal Catalog Agency and Federal Catalog Suffix fields in the following manner:

1. Select a value from the Federal Catalog Agency pick list. Valid entries for this field are established on the Federal Agency (FEDAGCY) page
2. The Federal Catalog Prefix field is populated by the selection from the Federal Catalog Agency pick list, based on entries in the Federal Agency (FEDAGCY) page. This represents the first two digits of the CFDA number
3. Select a value from the Federal Catalog Suffix pick list. This represents the last two or three digits of the CFDA number

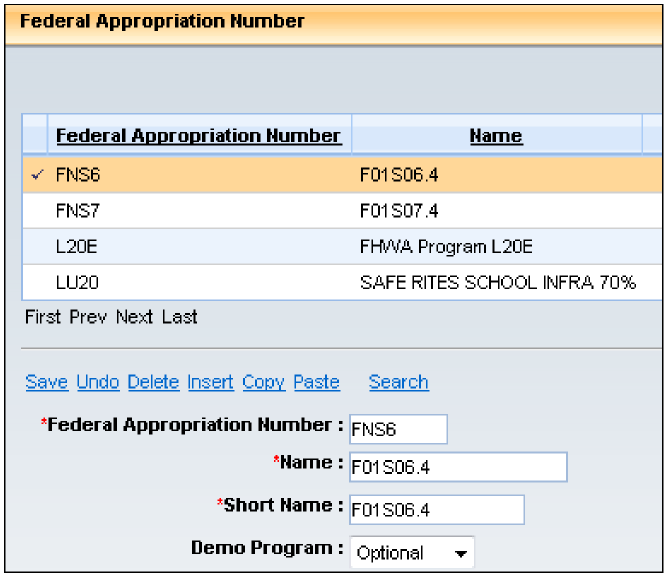
If a Federal program does not have an assigned CFDA Number, enter values in the SEFA ID and SEFA Description fields to assign an ID. Please contact GAO for guidance.



If the CFDA Validation Required check box is checked for the Major Program associated with the Program Period, then the Federal Catalog Prefix field and Federal Catalog Suffix field values entered in this component are validated against the CFDA Number table to ensure it is a valid value.

The Federal Appropriation number is populated in the Federal Appropriation No. field. New Federal Appropriation Numbers must first be established on the Federal Appropriation Number (FAN) page before they can be entered on the PPC page. See Figure 6 for a sample entry on the FAN page.

Figure 6 Federal Appropriation Number (FAN) Page



Activity 3.6

View an Existing Program Period

Scenario

View a Program Period that has been established for the AZ Expressway Project.

Setup

- ✓ User is logged in to the AFIS Home Page.
- ✓ The Major Program and Program records have been established.

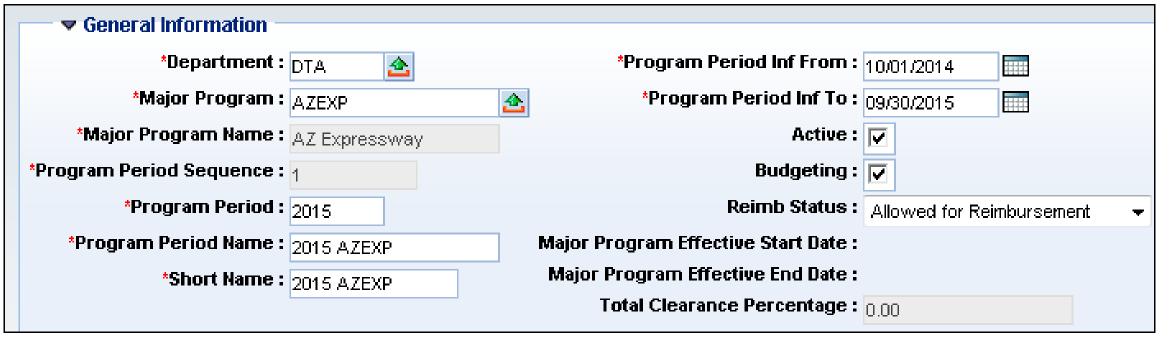
Steps

A. Navigate to the Program Period page (PPC) and search for the Program Period record created for the 2015.

1. In the **Jump to** field, enter ***PPC***.
2. Click **Go**. The **Program Period** page is displayed.
3. Click **Search**. A Search window is displayed.
4. In the **Major Program** field, enter ***AZEXP***.
5. In the **Program Period** field, enter ***2015***.
6. Click **Ok**. The Program Period record for the AZ Expressway Project is displayed.

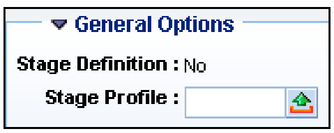
B. View information in the General Information component.

1. Notice the **Program Period Inf From** and **Program Period Inf To** fields which define the award period or fiscal year for the project.



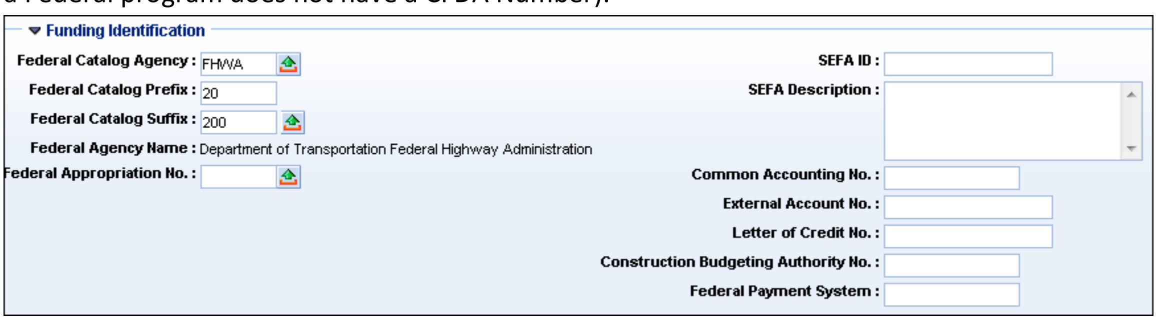
C. View information in the General Options component.

1. Click the **General Options** component to expand it.
2. Notice the **Stage Definition** field is **No** (this is populated from the Major Program record).



D. View information in the Funding Identification component.

1. Click the **Funding Identification** component to expand it.
2. View the Federal Agency code identified in the **Federal Catalog Agency** field**.**
3. Notice the CFDA number identified in the **Federal Catalog Prefix** and the **Federal Catalog Suffix** fields**.**
4. Notice the **SEFA ID** and **SEFA Description** fields are blank (these fields are available for use when a Federal program does not have a CFDA Number).



5. Click **Home** on the Primary Navigation Panel to return to the Home Page.

3.7. Establish Stage Definitions

When Stage Profiles are used, Stage Definitions are created to enter the unique dates associated with Stages for a specific Program Period.

Stage Definition Setup

The Stage Definition Setup page is different from most pages in AFIS because the only effective way to navigate to the page is through a link at the lower left corner of the associated Program Period page. This is because most information on the Stage Definition Setup page is inferred from the Program Period record.

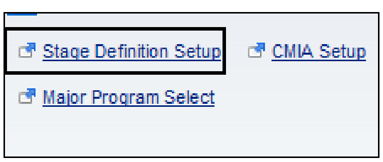
A user cannot add, modify, or delete Stages on the Stage Definition Setup page. Changes to the Stage Profile must be done on the Stage Profile Select (STPFST) page before the Stages can be defined with Stage Start Dates and Stage End Dates on the Stage Definition Setup page.

The Stage Start Date for the first Stage Sequence is equal to the Program Period Inf From date, unless a Pre-Processing Stage is included in the Stage Profile. The Stage End Date for the last Stage Sequence is equal to the end date of the grant Closeout period. Time gaps between the Stages are not permitted. The Stage Start Date of the second Stage must be one day following the Stage End Date of the previous Stage.

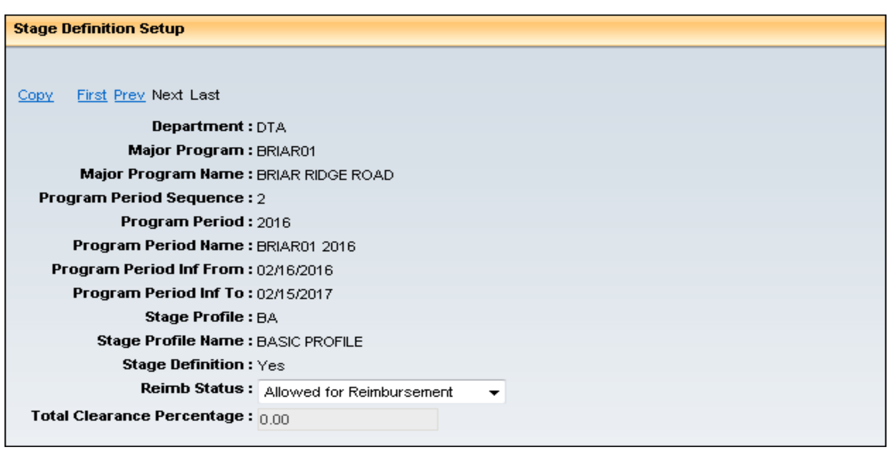
For example, the Stage Start Date and Stage End Date for the Operating Stage often aligns with the two year spending timeframe allowed by the grantor. The Stage Start Date and the Stage End Date for the Closeout Stage aligns with the dates set by the grantor for closeout activities. For Federal Programs, this is normally a 90 day period following the end of the two year spending period.

At this time, the State is not using Stage Profiles and Stage Definitions, but for future reference, the steps necessary to create Stage Definitions are as follows:

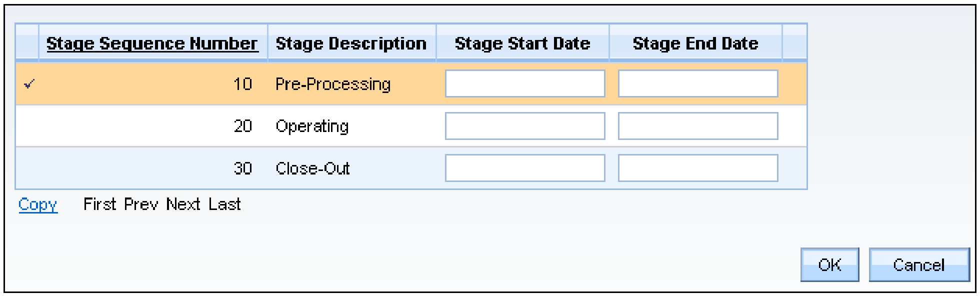
1. From the Program Period record that is configured to use Stage Profiles, click the **Stage Definition Setup** link at the lower left corner of the screen.



2. The Stage Definition page is displayed. Notice that information from the Program Period page is auto populated at the top of the screen.



3. Notice that the Stages from the Stage Profile Select page are populated on the lower half of the screen. The Stage Sequence Number, and Stage Description are displayed for each Stage.

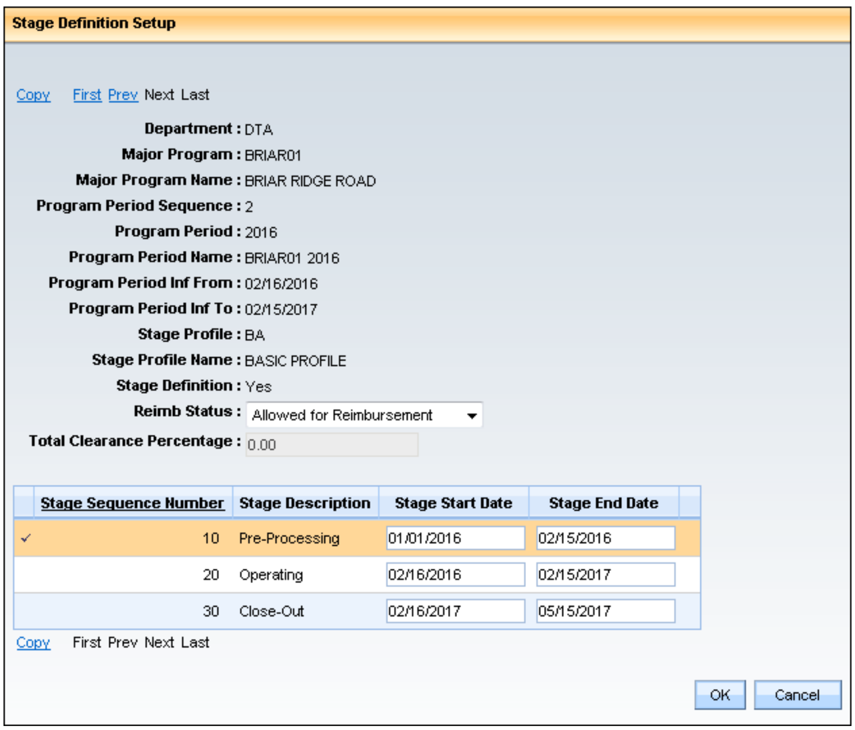


	Stage Sequence Number	Stage Description	Stage Start Date	Stage End Date
✓	10	Pre-Processing		
	20	Operating		
	30	Close-Out		

Copy First Prev Next Last

OK Cancel

4. Enter a Stage Start Date and Stage End Date for each Stage in the Stage Definition Setup page. Remember, time gaps between the Stages are not permitted, and the Stage Start Date of the next Stage must be one day following the Stage End Date of the previous Stage.



Stage Definition Setup

Copy First Prev Next Last

Department : DTA
Major Program : BRIAR01
Major Program Name : BRIAR RIDGE ROAD
Program Period Sequence : 2
Program Period : 2016
Program Period Name : BRIAR01 2016
Program Period Inf From : 02/16/2016
Program Period Inf To : 02/15/2017
Stage Profile : BA
Stage Profile Name : BASIC PROFILE
Stage Definition : Yes
Reimb Status : Allowed for Reimbursement
Total Clearance Percentage : 0.00

	Stage Sequence Number	Stage Description	Stage Start Date	Stage End Date
✓	10	Pre-Processing	01/01/2016	02/15/2016
	20	Operating	02/16/2016	02/15/2017
	30	Close-Out	02/16/2017	05/15/2017

Copy First Prev Next Last

OK Cancel

5. Click **OK** to return to the PPC.

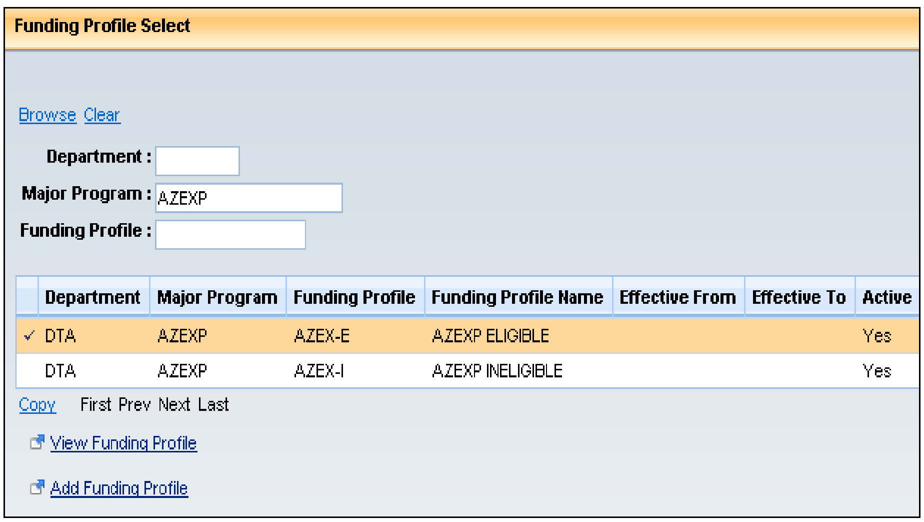
3.8. Establish a Funding Profile Hierarchy

The Funding Profile hierarchy is required for projects and grants that use the AFIS automated reimbursement process. The hierarchy is established on the Funding Profile Select (FPRFLST) page and consists of the Funding Profile, Funding Priority(s), Funding Line(s), and Internal Buyer Funding Line(s). This hierarchy may also be used to record funding information when the Major Program Split Type field is set to No Automated Splits – Manual (in this case, drawdown requests are calculated outside of AFIS).

Funding Profile Overview

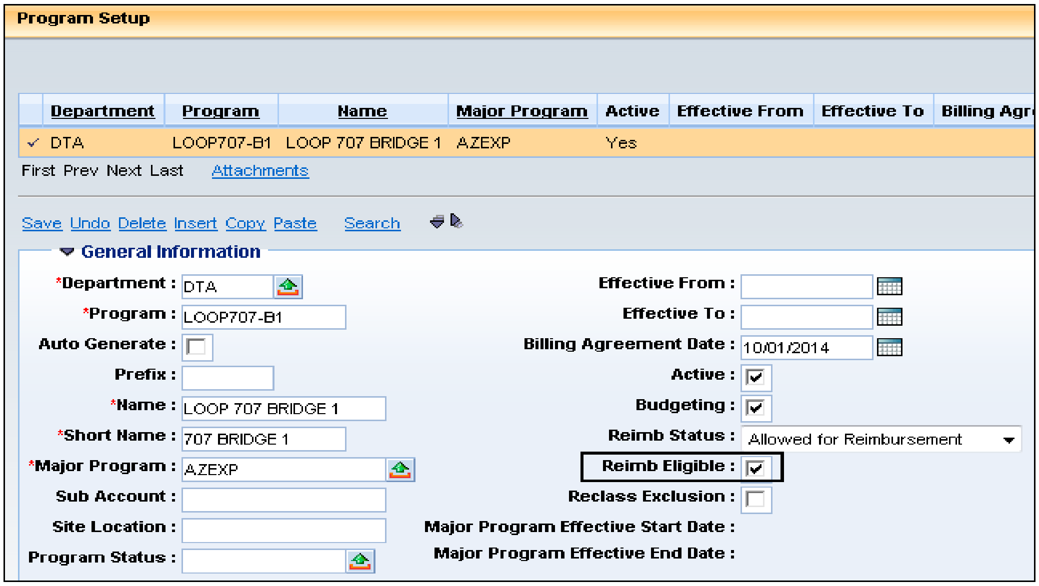
The Funding Profile can be used for billing business rules within the Major Program. It captures the reimbursement structure for the project or grant, tracks all of the details related to the funding source(s) and funding agreement(s), and drives the reimbursement process.

At least two types of Funding Profiles are established for each reimbursable Major Program: eligible and ineligible. An eligible funding profile identifies the funding details for participating or reimbursable expenditures; an ineligible funding profile identifies the funding details for non-participating or non-reimbursable expenditures. Normally only one ineligible Funding Profile is created for each Major Program; however, multiple eligible Funding Profiles can be created as needed to reflect the various funding agreements for the Major Program.



The General Accounting and Cost Accounting Chart of Accounts elements, listed below, have a check box to indicate whether the element is eligible for reimbursement in AFIS.

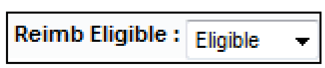
- Program
- Program Phase
- Object
- Activity



Funding Profile Inference Pages

A series of pages, referred to as funding profile inference pages, are used to associate unique combinations of Major Program elements to the appropriate Funding Profile. When the unique Major Program elements are entered on the Accounting line of an AFIS expenditure document, the appropriate Funding Profile is inferred on the posting line of the document based on the entry in the funding profile inference page.

Each funding profile inference page contains a Reimb Eligible field to identify whether the funding profile entered on that page is eligible or ineligible for reimbursement.



If an Accounting Line on an AFIS document contains a Chart of Accounts element that is eligible for reimbursement, then the eligible Funding Profile is inferred. When this inference occurs, the drawdown request generated by the automated reimbursement process will include the transaction.

If an Accounting Line on an AFIS document contains a Chart of Accounts element that is ineligible for reimbursement, then the ineligible Funding Profile is inferred. When this inference occurs, the drawdown request generated by the automated reimbursement process will not include the transaction.

Funding profile inference pages are covered in detail in the next topic.

Link Between Funding Profile and Major Program

The value selected in the Split Type field, on the General Options component of the Major Program page, tells the system whether a funding profile should be set up for the Major Program.

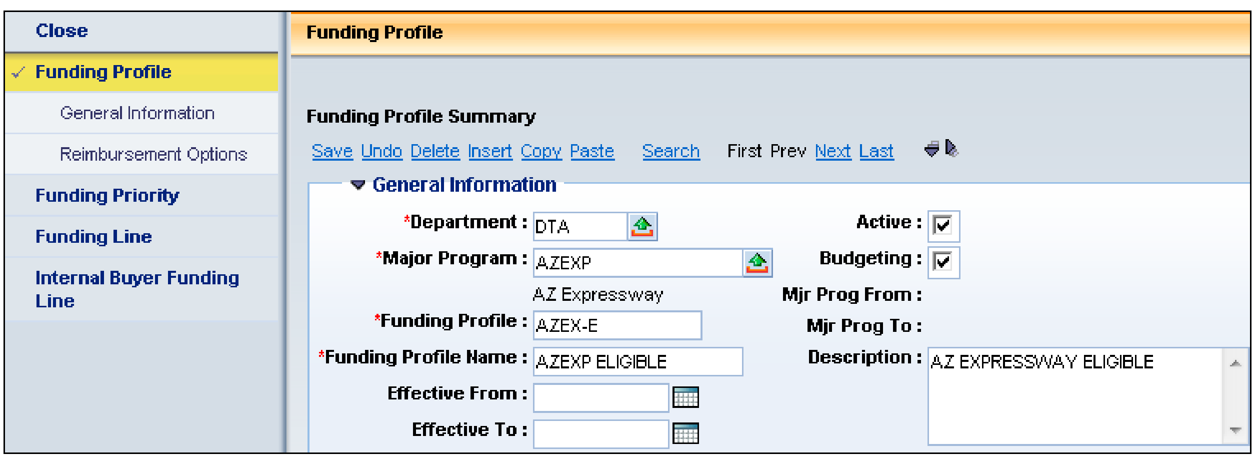
- If the Split Type value is Front End Split (FES), then the Funding Profile attribute must be utilized
- If the Split Type is No Automated Splits – Manual, then the Funding Profile may be used to capture funding information; however, the automated reimbursement process is not used for the Major Program
- If the Split Type is No Automated Splits – No Bill, then the Funding Profile attribute cannot be utilized for the Major Program

Funding Profile Summary

The Funding Profile Summary consists of the General Information and Reimbursement Options components.

Funding Profile – General Information Component

- **Department** - Select the Department from the pick list
- **Major Program** - Select an existing Major Program from the pick list
- **Funding Profile** and **Funding Profile Name** - Enter a new Funding Profile Code and Name
- **Effective From** and **Effective To** - These fields are optional, refer to department procedure. If an Effective From date is entered, it must be greater than or equal to Effective From entered on the Major Program component

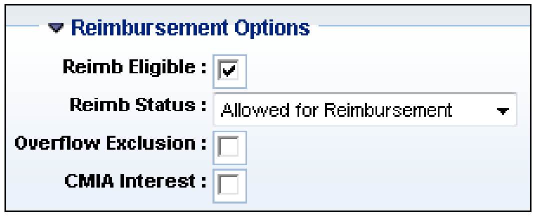


Funding Profile – Reimbursement Options Component

The Reimb Eligible check box on the Funding Profile Summary page, Reimbursement Options component, designates the Funding Profile as either eligible or ineligible for reimbursement.

The Overflow Exclusion check box determines if all posting lines that infer this funding profile are eligible for Automatic Overflow as part of the Reclassification Process. If this flag is selected, then posting lines that infer this funding profile cannot be reclassified for overflow purposes. See the Appendix, Reclassification Process, for additional information.

The CMIA Interest check box (CMIA is the Cash Management Improvement Act) indicates whether or not expenditures/charges that are allocated to this funding profile are eligible for interest charges under the Cash Management Improvement Act.



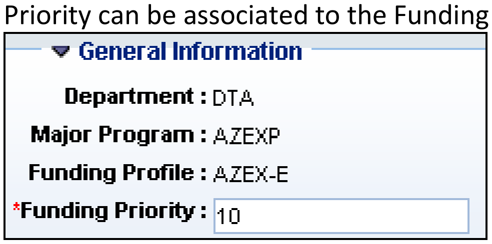
Funding Priority

Each Funding Profile has at least one Funding Priority. The Funding Priority defines the billing ceilings and billing sequence of funding agreements. If there is more than one funding agreement for the same project or grant, the funding priority identifies which funding agreement is used first to fund project or grant expenditures. This priority assignment is based upon the numeric value assigned in the Funding Priority field. It is considered best practice to number Funding Priorities by 10s (for example, 10, 20, 30, 40), in order to allow later insertion of a new Funding Priority in the proper sequence. For example, sequential Funding Priorities can be established to support the FHWA funding model; whereby one pot of money (designated by Federal Appropriation) must be spent before another.

A maximum of 100 Funding Priorities can be established for a Funding Profile.

Funding Priority – General Information Component

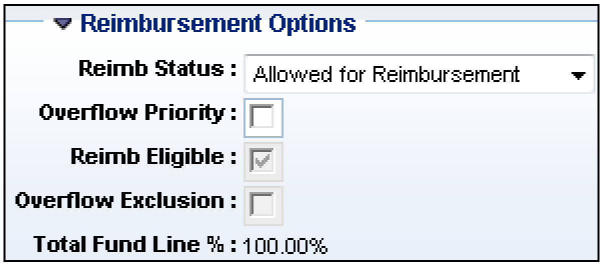
- **Department, Major Program,** and **Funding Profile** - These fields are inferred from the Funding Profile
- **Funding Priority** - Enter a number to identify the Funding Priority. More than one Funding Priority can be associated to the Funding Profile on the CAS document



Funding Priority – Reimbursement Options

- **Reimb Status** - Select Allowed for Reimbursement for all projects and grants. If processing of the automated drawdown request should be suspended for any reason, select Suspended for Reimbursement
- **Overflow Priority** - Check this check box if the Funding Priority is the Overflow Funding Priority. An Overflow Funding Priority must be established if expenditures exceeding the project or grant budget are to be allowed. It is considered best practice to number the Overflow Funding Priority 98 or 99 to ensure that it is always the last priority available
- **Reimb Eligible** - Check this check box for eligible Funding Priorities. Uncheck this check box for ineligible Funding Priorities

- **Overflow Exclusion** - This check box determines if all posting lines that infer this funding profile are eligible for Automatic Overflow as part of the Reclassification Process. If this flag is selected, then posting lines that infer this funding profile cannot be reclassified for overflow purposes. See the Appendix, Reclassification Process, for additional information
- **Total Fund Line %** - This field is system-generated and displays the total reimbursement percentage for all funding lines in this Funding Priority. The total reimbursement percentage for a Funding Priority should equal 100%. This field is updated whenever a new funding line is added or there is a change in the reimbursement percentage for any funding line



Funding Line

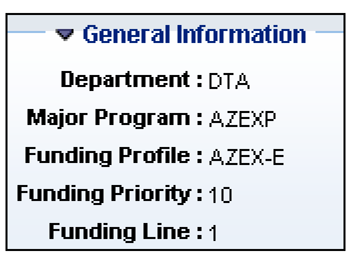
Each Funding Priority has at least one Funding Line. The Funding Line indicates the funding sources and specifies the funding source percentage. The Funding Line contains the detailed information presented in the funding agreement.

For projects or grants with multiple and concurrent funding sources, the automated splitting of expenditures (Funding Split), is determined by the percentages entered on the Funding Lines. Within a Funding Priority the funding line percentages must total 100%.

The Funding Line is a hierarchical child of the Funding Priority; therefore, the appropriate Funding Priority must be selected prior to navigating to the Funding Line. The Funding Line consists of the General Information, Reimbursement Options, Reimbursement, Front-End Split, and Funding Identification components.

General Information Component

All fields in the General Information component are inferred from the Funding Priority, except for Funding Line Number, which is sequentially assigned by AFIS.



In the Funding Line section, the user selects the Insert New Line button to create a new blank line.

Reimbursement Options Component

The Reimbursement Options component identifies the funding source and the important details related to the funding agreement. Key fields include:

- **Unit** - For eligible funding lines, enter All. This Unit must match the unit information on the CACT table for the department, billing profile, and VCUST record. For ineligible funding lines, leave this field blank
- **Customer ID** - Select the code for the funding source from the Vendor Customer (VCUST) page
    - For the external funding line, select the Federal agency or third party entity providing the project or grant funding
    - For the State match funding line, select the VCUST code for the department that will be populated as the 2nd party on the Internal Exchange Transaction (IET) document
    - For ineligible funding lines, leave this field blank
- **Billing Profile** - Identifies billing instructions for the funding source. For eligible funding lines, normally this will be COST. For ineligible funding lines, leave this field blank
- **Reimb Output Type** - Identifies the documents generated by the automated reimbursement process. Refer to State or department procedure for the proper entries for each Funding Line. The options are:
    - Generate Receivables Only - Select if AFIS should generate the Cost Accouting Receivable (CARE) document only. Used for external entities
    - Generate Receivables and Cash Receipts - Select if AFIS should generate both the Cost Accounting Receivable (CARE) and the Cost Accounting Cash Receipt (CACR) documents. Used for external entities
    - Internal Sale - This option will not be used by the State
    - Internal Reimbursement - Select if the IET document will be generated as an expenditure credit
    - None - Select if documents will not be generated by AFIS and for ineligible funding lines
- **Reimbursement Frequency** - Determines the frequency of reimbursement for expenditures charged to this funding line. Options are as follows. Refer to department procedure for the proper selection. For ineligible funding lines, select None.
    - N/A - See Billing Profile
    - None
    - Daily
    - Weekly
    - Semi-monthly
    - Monthly
    - Biweekly
    - Quarterly
    - Semi-annual
    - Annual
    - One-time
    - Date Range

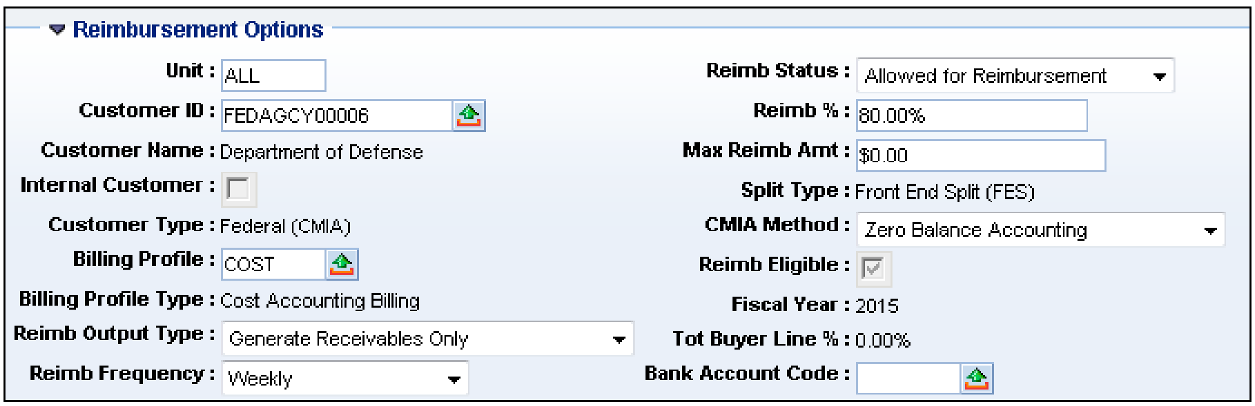
- **Reimb Status** - Select Allowed for Reimbursement for all projects and grants. If processing of the automated drawdown request should be suspended for any reason, select Suspended for Reimbursement
- **Reimb %** - Enter the % of funding from this funding source. The percentage should be entered as a whole number (for example, enter 50 not .50 if the funding source is reimbursing 50%)

***Note**: The sum of all Funding Lines for each Funding Priority must equal 100% before the Funding Profile can be used on an accounting transaction.*

- **Max Reimb Amt** - This field is optional and is used to enter the maximum amount that can be reimbursed for any funding line on any given run of the automated reimbursement process

***Note**: This is not the total agreed-upon reimbursement. That amount is recorded on the Reimbursement Budget line.*

- **CMIA Method** - An entry is required if the Customer Type indicates a CMIA agreement. The Customer Type is established on the Vendor Customer page in the Accounts Receivable component


Reimbursement Options

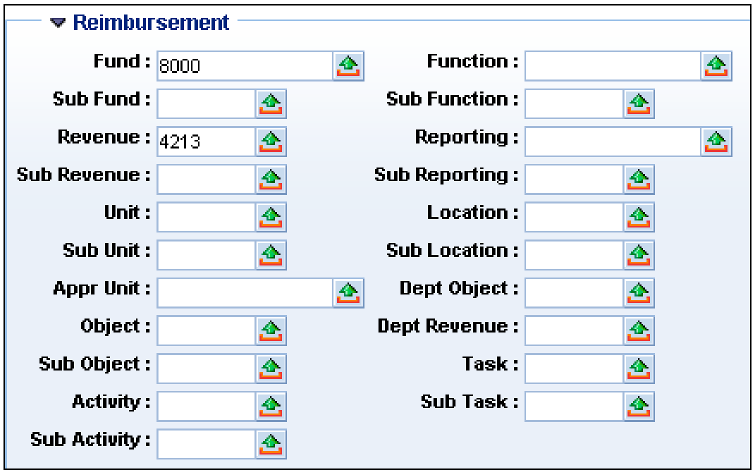
Unit : ALL
Customer ID : FEDAGCY00006
Customer Name : Department of Defense
Internal Customer :
Customer Type : Federal (CMIA)
Billing Profile : COST
Billing Profile Type : Cost Accounting Billing
Reimb Output Type : Generate Receivables Only
Reimb Frequency : Weekly
Reimb Status : Allowed for Reimbursement
Reimb % : 80.00%
Max Reimb Amt : $0.00
Split Type : Front End Split (FES)
CMIA Method : Zero Balance Accounting
Reimb Eligible :
Fiscal Year : 2015
Tot Buyer Line % : 0.00%
Bank Account Code :

***Note**: In order to create entries on the Funding Line for eligible Funding Profiles, the appropriate records must first be established on the Vendor/Customer (VCUST) page, the Billing Profile (BPRO) page, and the Customer Account Options (CACT) page. See the Accounts Receivable course for additional information on establishing entries on these pages.*

Reimbursement Component

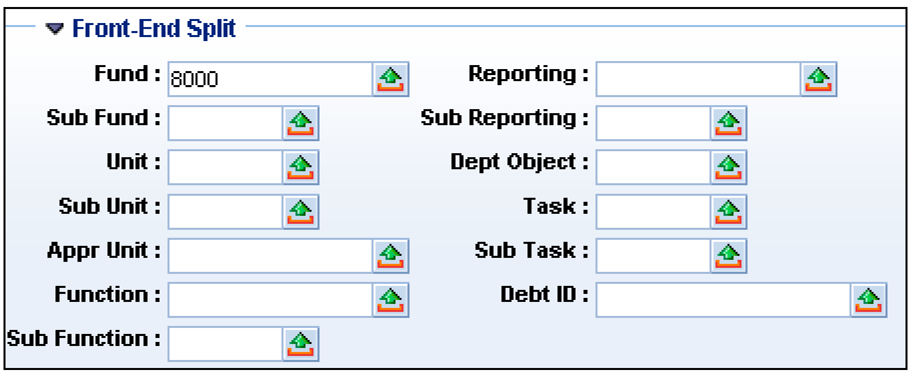
The values entered in the Reimbursement component are used to populate the Chart of Accounts fields on the Cost Accounting Receivable (CARE) documents generated by the automated reimbursement process. When a field is blank in this component, then the CARE will inherit the value that was on the corresponding field on the Accounting Line of the source expenditure document. If a value is entered in one or more fields in the Reimbursement component, then those values will be populated in the corresponding fields on the RE document that is generated by the automated reimbursement process.

Generally, the Revenue field is populated for all Funding Lines. Other fields are populated according to department procedure.

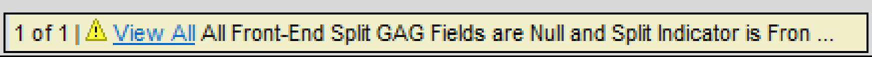


Front-End Split Component

The Front-End Split component is utilized when the Chart of Accounts elements entered on the Accounting Line must be overwritten on the Posting Line during the Front End Split process. The fields most commonly populated are Fund and Appropriation Unit, but all fields are optional. Refer to department procedure.



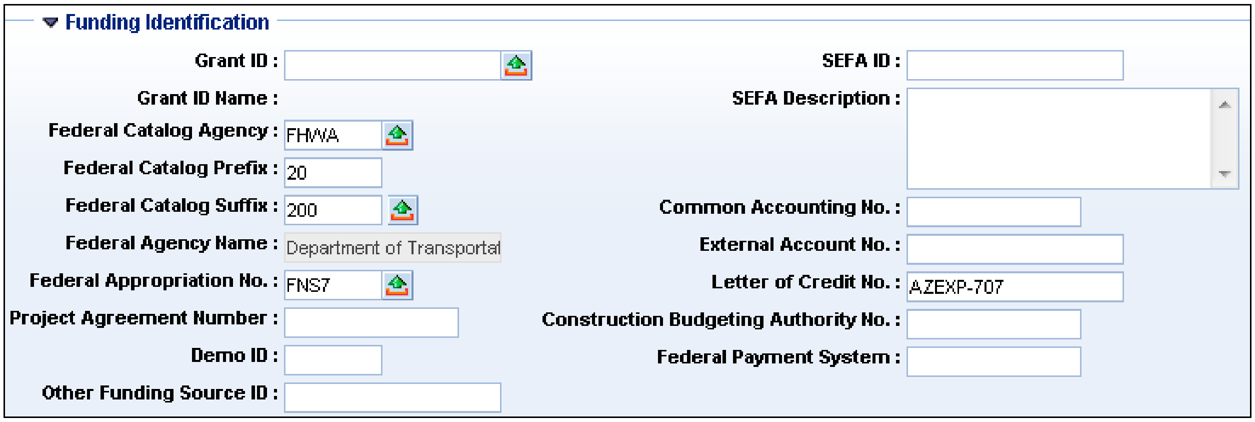
Note*: An informational message (All Front-End Split GAG Fields are Null and Split Indicator is Front End Split (A1500)) is always displayed if the Front-end Split component is not populated. No action is needed.*



Funding Identification Component

Select the Grant ID from the pick list if a grant award is associated at the Funding Line level.

Normally, funding identification information is entered on the Program Period record for a Major Program. However, this information may be entered on the Funding Line when there are multiple CFDA or SEFA numbers for a Major Program within an individual Program Period. In this case, the selection from the drop down list in the Federal Appropriation Setup field on the Major Program record will be Funding Line. Fields in the Funding Identification component on the Funding Line are completed in the same manner as described for the Program Period.



Internal Buyer Funding Line

Internal Buyers are departments within the State that provide the State's funding for a grant or project. Each department that functions as an internal buyer must be established as a customer on the Vendor Customer page.

The Internal Buyer Funding Line is used to enter one or more buyer lines that will fund the State Funding Line (and be charged the expenditure). You may enter percentages on this table to split the expenditures among multiple departments to support inter-governmental service agreements.

Internal Buyer Funding Lines are child records of the Funding Line, so it is important to select, or highlight, the State Funding Line in the grid on the Funding Line component before navigating to the Internal Buyer Funding Line.

General Information Component

All fields in the General Information tab are system-generated or inferred from the Funding Line.

Reimbursement Options Component

- **Customer ID** and **Reimb Output Type** - These fields are inferred from the Funding Line
- **Use Tax** - This field is optional. Refer to department procedure
- **Buyer %** - Enter 100% if there is one internal funding source. If more than one Buyer Line is needed, the sum of all Internal Buyer Funding Lines for the internal Funding Line must equal 100%

Expense Component

The values entered in the Expense tab are used to populate the Chart of Accounts fields on the Internal Exchange Transaction (IET) documents generated by the automated reimbursement process.

- **Fund** - This is a required field. Use the pick list to select a Fund code
- **Object** - This is a required field. Use the pick list to select an Object code
- **Unit** - Use the pick list to select a Unit code

- **Department** - This is a required field. Use the pick list to select a Department code

All other fields in this tab are optional**.** Refer to department procedure.

ACTIVITY 3.8
View an Eligible Funding Profile and an Ineligible Funding Profile

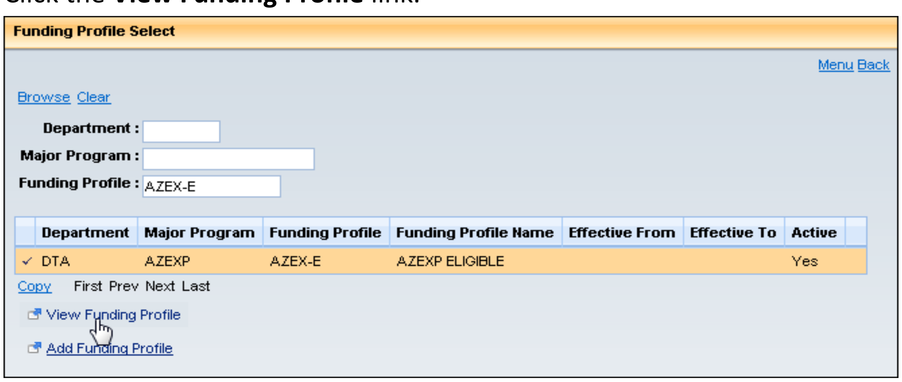
Scenario
The Federal government is funding 80% and the State is funding 20%, for the Engineering Phase of the AZ Expressway project.

View the Funding Profiles to be utilized for the AZ Expressway Project Engineering Phase. The eligible funding profile is a front end split, with 80% Federal funding and 20% State funding. There is an Overflow Priority established for this Funding Profile. The ineligible Funding Profile will provide the State funding information for all ineligible transactions within the Major Program.

Setup
- ✓ User is logged in to the AFIS Home Page.
- ✓ The Major Program and Program records have been established.
- ✓ The Engineering phase for Department has been established and the PHPRG page populated for the Loop 707-Bridge 1 component of the AZ Expressway, Engineering Phase.

Steps
A. Navigate to the Funding Profile Select (FPRFLST) page and search for the eligible Funding Profile for the AZ Expressway Project.

1. In the **Jump to** field, enter ***FPRFLST***.
2. Click **Go.** The **Funding Profile Select** page is displayed.
3. In the **Funding Profile** field, enter ***AZEX-E***.
4. Click **Browse**.
5. Click the **View Funding Profile** link.



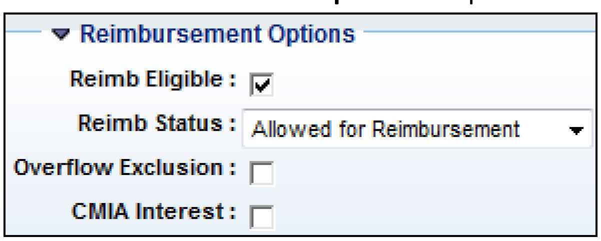
6. The **Funding Profile Summary** is displayed. Notice on the Secondary Navigation Panel that Funding Profile is checked, signifying your location within the page.

B. View information in the General Information component of the eligible Funding Profile.

1. Notice the **Department, Major Program, Funding Profile,** and **Funding Profile Name** fields identify the Funding Profile.
2. Notice the **Effective From** and **Effective To** fields remain blank.

C. View information in the Reimbursement Options component of the Funding Profile.

1. Click the **Reimbursement Options** component to expand it.

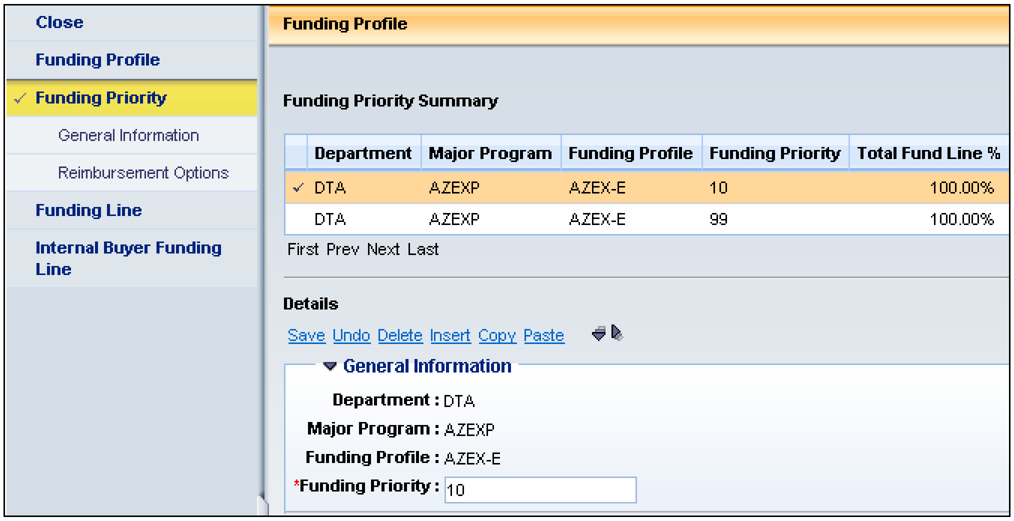


2. In the **Reimb Eligible** check box, notice that a check mark is displayed.
3. In the **Reimb Status** field, notice that Allowed for Reimbursement is displayed.

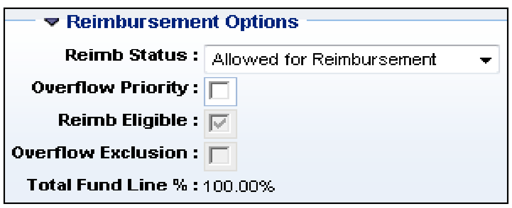
D. View the first Funding Priority.

1. On the Secondary Navigation Panel, click **Funding Priority**. Notice that Funding Priority is now checked to signify your location on the page.

2. Notice the first **Funding Priority** field entry is ***10.*** Funding Priorities are commonly numbered in tens to allow future insertion of additional Funding Priorities, in the proper funding sequence.

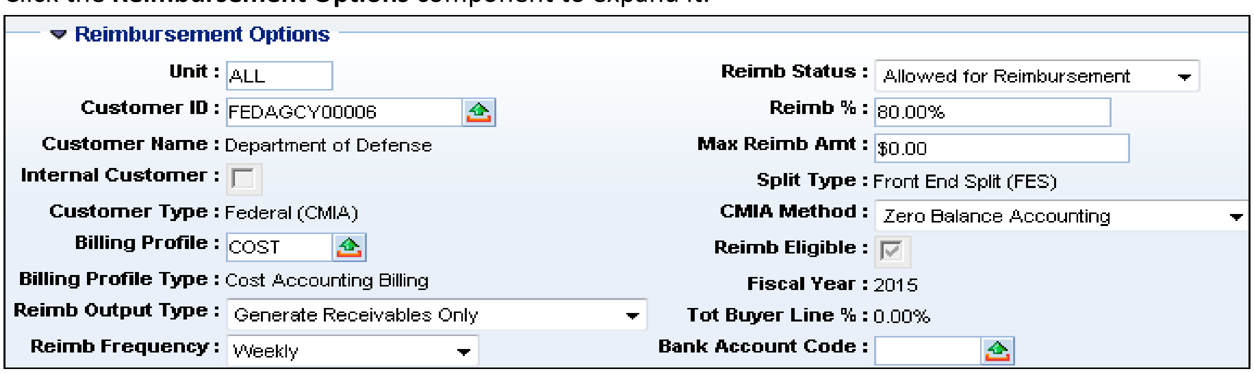


3. Click the **Reimbursement Options** component to expand it.
4. Notice the **Reimb Status** is **Allowed for Reimbursement**.
5. Notice the **Reimb Eligible** check box is checked, but remains grayed out. This is inferred from the Funding Profile Summary.



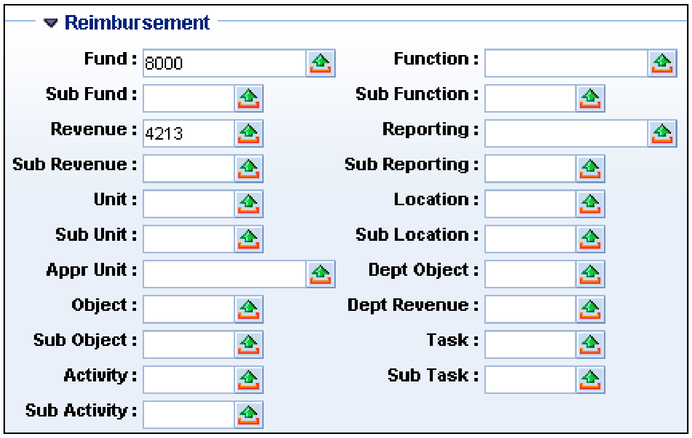
E. View Funding Line One for Funding Priority 10. This is the Federally-funded Funding Line.

1. On the Secondary Navigation Panel, click **Funding Line**. Notice that Funding Line is now checked to signify your location on the page.
2. Click the **Reimbursement Options** component to expand it.

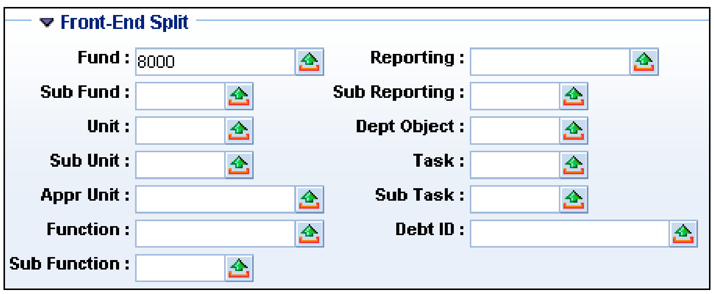


3. Notice the VCUST code in the **Customer ID** field.
4. In the **Reimb Output Type** field, notice the entry is **Generate Receivables Only**.
5. Notice the **Reimb Frequency** field references is **Weekly**.
6. Notice the value in the **Reimb %** field is ***80***. This indicates that FHWA is funding 80% of expenditures.

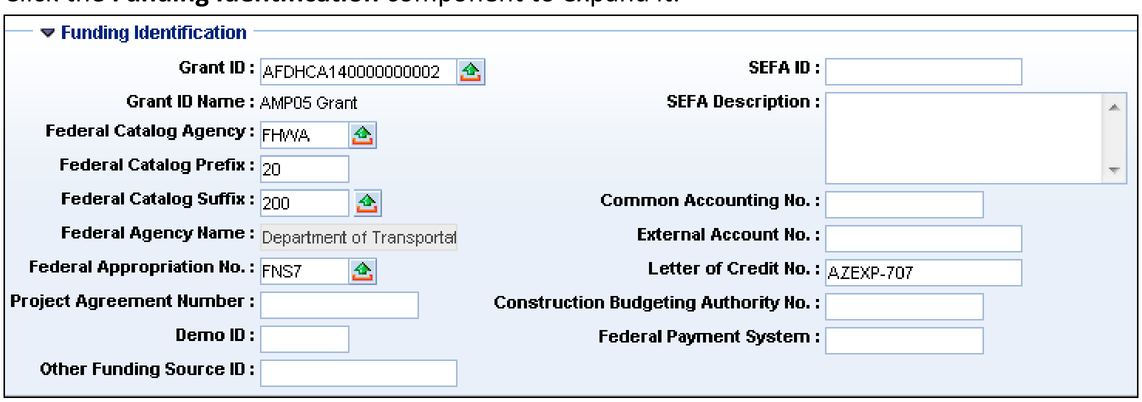
7. Click the **Reimbursement** component of the Funding Line to expand it.



8. Notice a **Revenue** code is entered, to identify the revenue source code that should be placed on the RE document created by the automated reimbursement process. The remaining Chart of Accounts fields in this component are populated based on department procedure.
9. Click the **Front-End Split** component to expand it.
10. Notice a value has been placed in the **Fund** field. This Fund code will overwrite the Fund code on the source expenditure when AFIS creates the Federally-funded posting line.



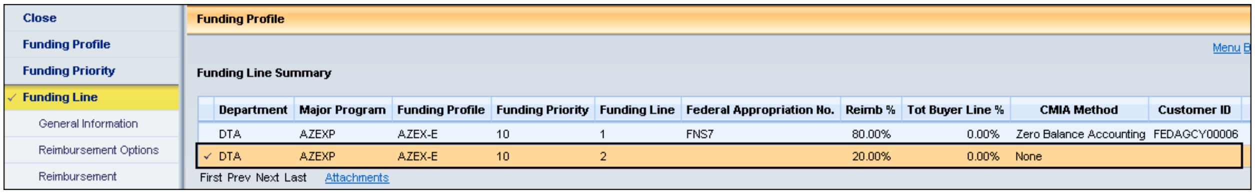
11. Click the **Funding Identification** component to expand it.



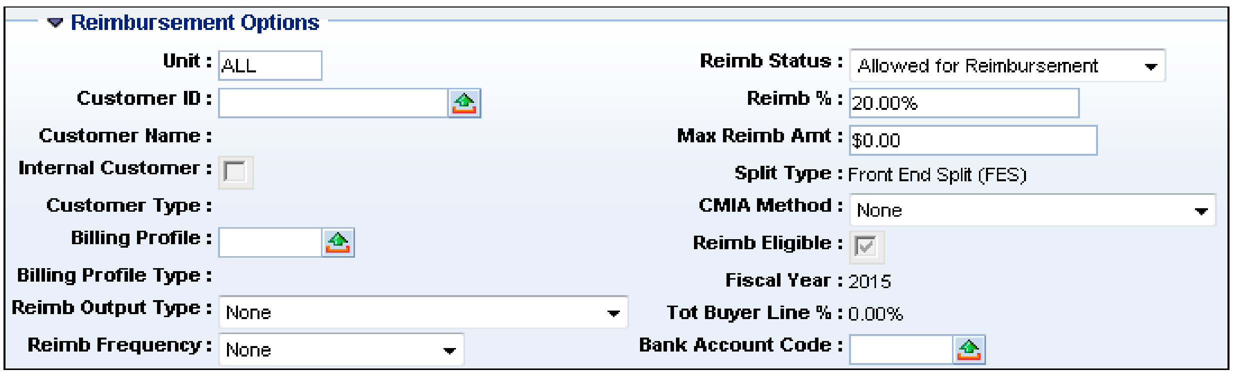
12. Notice the value in the **Grant ID** field. This field is populated with a Grant ID from the GLM module in AFIS, when a Major Program should be associated with a grant award. For this example, the Grant ID associated with the FHWA grant is associated at the Funding Line level.
13. Notice the **Federal Catalog Agency, Federal Catalog Prefix, Federal Catalog Suffix,** and **Letter of Credit No.** fields are populated.

F. View Funding Line Two for Funding Priority 10. This is the State Match Funding Line for eligible expenditures.

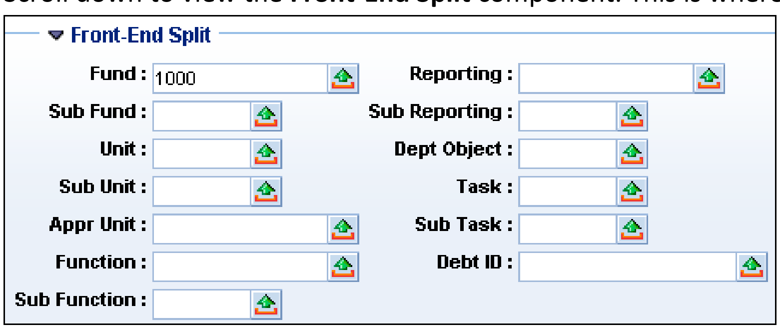
1. Scroll to the top of the page.
2. In the Funding Line grid, select **Funding Line 2**. Information for the State-funded Funding Line is now displayed.



3. View the **Reimbursement Options** component.



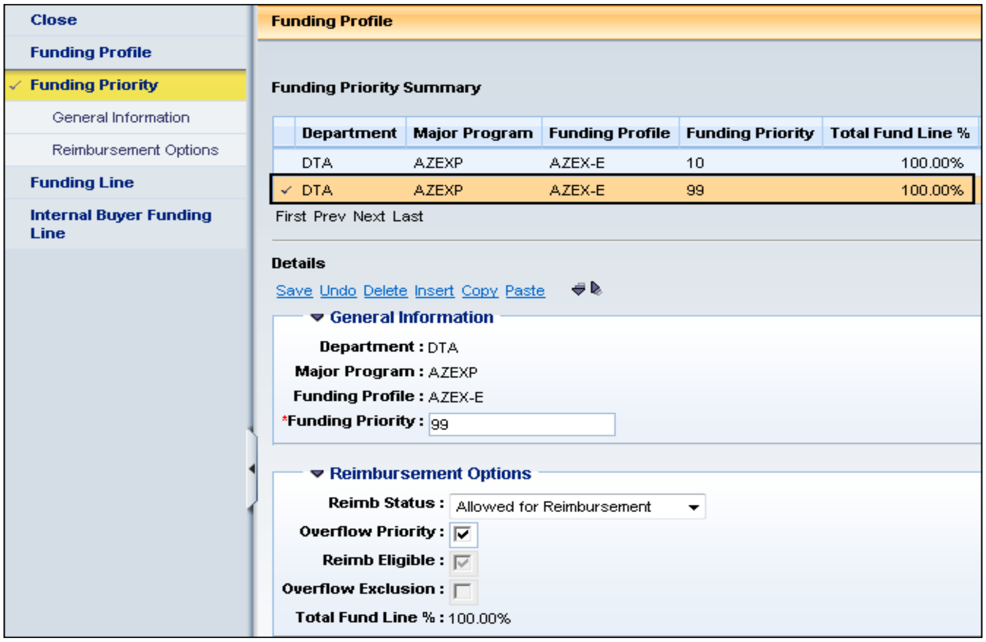
4. Notice the **Customer ID** field is blank.
5. Notice the value in the **Reimb Output Type** field is **None**.
6. Notice the value in the **Reimb Frequency** field is **None**.
7. Notice the value in the **Reimb %** field is **20**. This indicates the State is funding 20% of expenditures.
8. Scroll down to view the **Front-End Split** component. This is where to identify the match funding.



G. View the second Funding Priority.

1. On the Secondary Navigation Panel, click **Funding Priority**. Notice that Funding Priority is now checked to signify your location on the page.

2. In the grid, click the second **Funding Priority** field entry, 99**.** This is the Overflow Funding Priority.



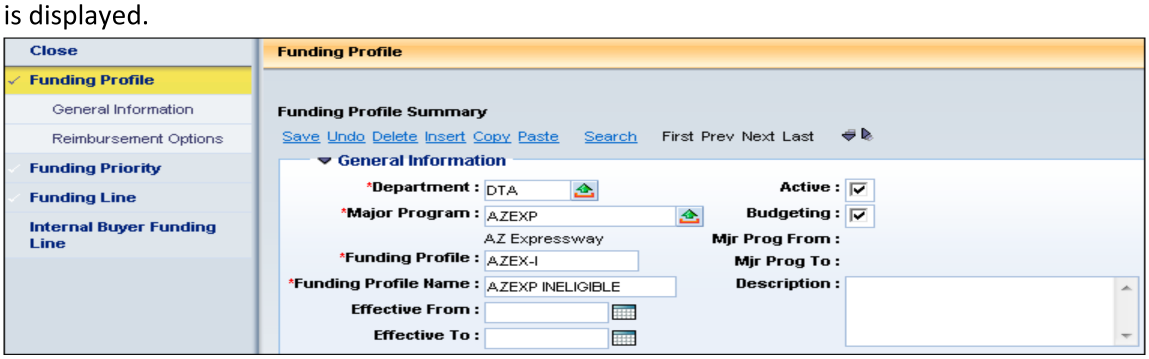
3. Notice the **Reimb Status** is **Allowed for Reimbursement**.
4. Notice that the **Overflow Priority** check box is checked.
5. Notice the **Reimb Eligible** check box is checked, but remains grayed out. This is inferred from the Funding Profile Summary.

H. View Funding Line section for Funding Priority 99.

1. On the Secondary Navigation Panel, with **Funding Priority 99** highlighted, click **Funding Line**.
2. View the Overflow funding for this example.

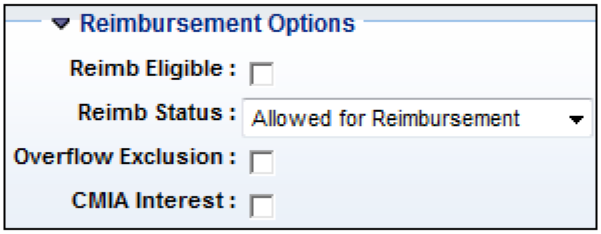
I. View an ineligible Funding Profile for the AZ Expressway Project.

1. On the Secondary Navigation Panel, click **Funding Profile**.
2. On the Secondary Navigation Panel, click **Close**. The Funding Profile Select page is displayed.
3. In the **Funding Profile** field, enter ***AZEX-I***.
4. Click **Browse**. The AZEXP INELIGIBLE Funding Profile is displayed in the grid.
5. Click the **View Funding Profile** link. The ineligible Funding Profile for the AZ Expressway Project is displayed.

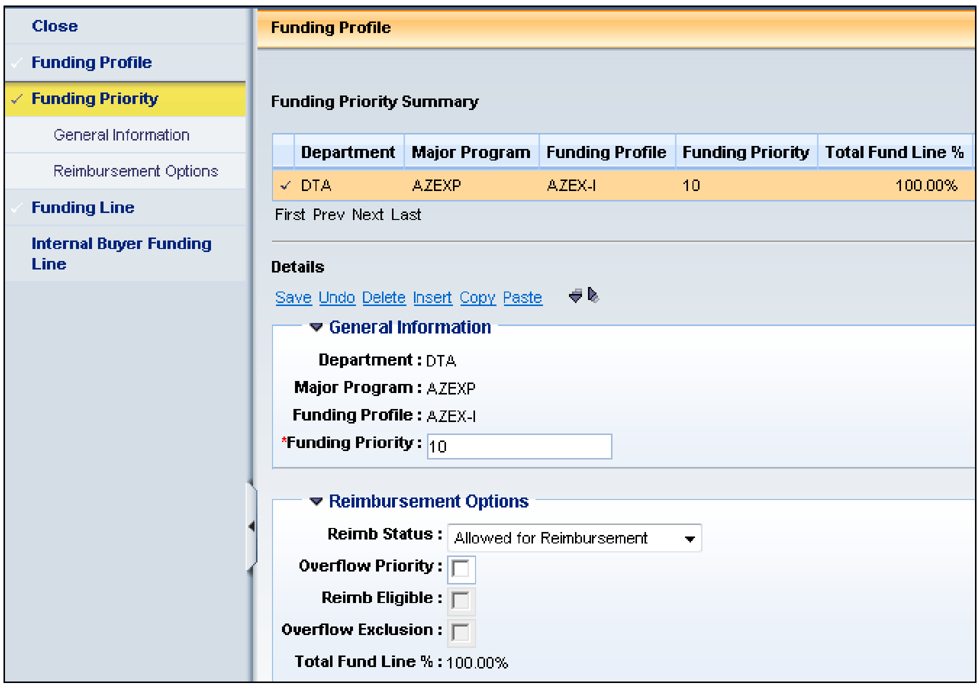


6. View the information in the **General Information** component of the Funding Profile Summary.

7. In the Reimbursement Options component, notice that the **Reimb Eligible** check box is unchecked. This indicates to AFIS that this Funding Profile is for ineligible expenditures.



J. View the Funding Priority for the ineligible Funding Profile.



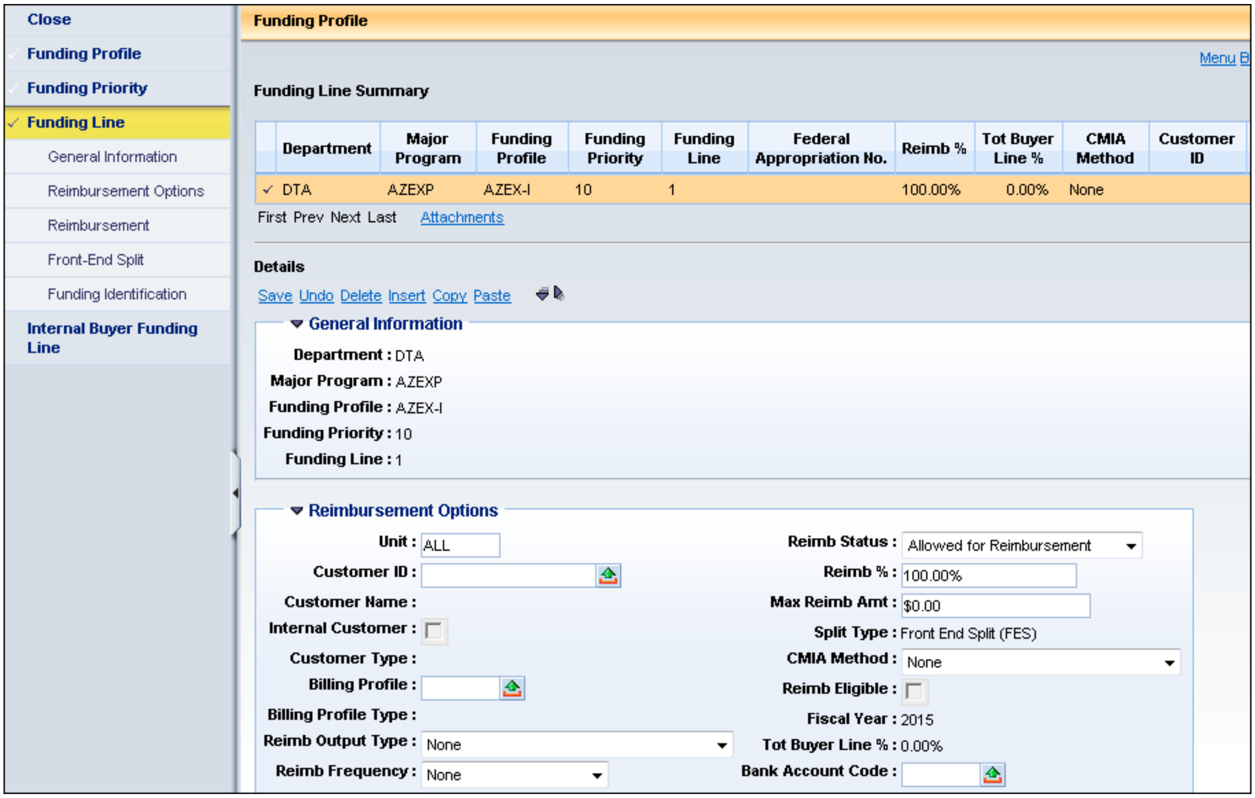
1. On the Secondary Navigation Panel, click **Funding Priority**. Notice that Funding Priority is now checked to signify your location on the page.
2. Notice the value in the **Reimb Status** field is Allowed for Reimbursement and the **Reimb Eligible** check box remains unchecked. These fields are inferred from the Funding Profile Summary.

K. View the single Funding Line for the ineligible Funding Profile., then click Close and return to the Home Page.

> ***Note**: Only the Reimbursement Options component must be completed for ineligible Funding Profiles. An Internal Buyer Funding Line is not required.*

1. On the Secondary Navigation Panel, click **Funding Line**. Notice that Funding Line is now checked to signify your location on the page.

2. Notice there is no Customer ID in the **Customer ID** field.



3. Notice the entry in the **Reimb Output Type** is **None**.
4. Notice the selection in the **Reimb Frequency** field is **None** and the **Reimb Status** selected is **Allowed for Reimbursement**.
5. Notice the value in the **Reimb %** field is ***100***.
6. The **Reimb Eligible** check box is inferred from the Funding Priority and remains unchecked.
7. Scroll to view the **Front-End Split** component. This is where to identify the ineligible cost funding.
8. On the Secondary Navigation Panel, click **Close.**
9. Click **Home** on the Primary Navigation Panel to return to the Home Page.

3.9. Establish Funding Profile Inference Rules

The Funding Profile is not manually entered on the expenditure document Accounting Line. Instead, it is inferred on the Posting Line of the expenditure document, based on the cost accounting Chart of Accounts elements entered on the Fund Accounting and Detail Accounting tabs of the Accounting Line. The inferences are established on a series of funding profile inference pages.

Funding Profile Inference Pages

The funding profile inference pages establish the rules for inferring a funding profile, based on the Chart of Accounts elements entered on accounting and procurement documents. This simplifies data entry for project and grant accounting transactions. If a Program code associated with a front end split Major

Program is entered on a document Accounting Line, an entry must be present on one of the funding profile inference pages. Otherwise, an error is generated.

There are multiple funding profile inference pages which differ based on the combination of Chart of Accounts elements contained on the page. AFIS searches through the funding profile inference pages in a defined sequence, looking for a match to the Chart of Accounts elements entered on the accounting line of the transaction. When AFIS finds a match, it applies the associated Funding Profile from the entry on that table and does not search the remaining funding Profile inference tables.

The funding profile inference page utilized for a project or grant is dependent upon its cost structure and reimbursement eligibility. The funding profile inference pages commonly used by the State, listed in the sequence that AFIS searches the tables, are:

- **Funding Profile Inference 2 (FPI2)** - infers a Funding Profile based on the Department, Major Program, Program, and Phase codes. This inference page may be used when each Phase has a different funding profile
- **Funding Profile Inference 3 (FPI3) infers a Funding Profile by a combination of Department, Major Program, Program Period, Fiscal Year, and Activity**
- **Funding Profile Inference by Program Period and Appropriation (FPPPAPPR)** - infers a Funding Profile by a combination of Department, Major Program, Program, Program Period, and Appropriation Unit
- **Funding Profile Inference 4 (FPI4)**- infers a Funding Profile based on the Department, Major Program, Program, and Program Period codes
- **Funding Profile Inference 5 (FPI5)**- infers a Funding Profile based on the Department, Major Program, and Program codes

A funding profile inference record must be established for the eligible Funding Profiles (for participating costs) and the ineligible Funding Profile (for non-participating costs) for each Program that is utilizing the automated reimbursement process and/or the front end split in AFIS.

Key fields on funding profile inference pages are:

- **Department** - Select the Department to which the Major Program and Funding Profile are associated
- **Major Program** - Select the Major Program to which the Funding Profile is associated
- **Funding Profile** - Select the Funding Profile code exactly as it was entered in the Funding Profile component
- **Reimb Eligible** - For eligible Funding Profiles, from the drop down list, select Eligible. For ineligible Funding Profiles, from the drop down list, select Ineligible

Additional fields will be required depending upon the specific funding profile inference page selected.

Document Posting Lines

When a Program code associated with a front end split Major Program is entered on the Detail Accounting tab of an Accounting Line, and the Validate button is clicked, then AFIS searches the funding profile inference pages to look for a Funding Profile to infer. If found, the funding rules established on the Funding Profile are applied, and posting lines are generated accordingly. If a corresponding funding profile inference entry cannot be found, an error is generated.

In our example, the Funding Profile for the Engineering Phase of the Loop 707-Bridge 1 Program in the AZ Expressway Project contains two Funding Lines (80% FHWA funding and 20% State funding) for Funding Priority 10. This Funding Profile is specific to the Engineering Phase; therefore, an entry is made on the Funding Profile Inference 2 (FPI2) page which infers a profile based on Department, Major Program, Program, and Phase. When this Funding Profile is inferred, two posting lines are generated. One posting line is generated to post 80% of the Accounting Line to the FHWA funding line elements; a second posting line is generated to post 20% of the Accounting Line to the State funding line elements. In addition, an entry must also be established for ineligible costs for the Engineering Phase.

Activity 3.9

View an Eligible and an Ineligible Funding Profile Inference

Scenario

View the inference rules entered to link accounting and procurement transactions to the proper Funding Profiles for the AZ Expressway Project, Loop 707-Bridge 1 Program – Engineering Phase.

Setup

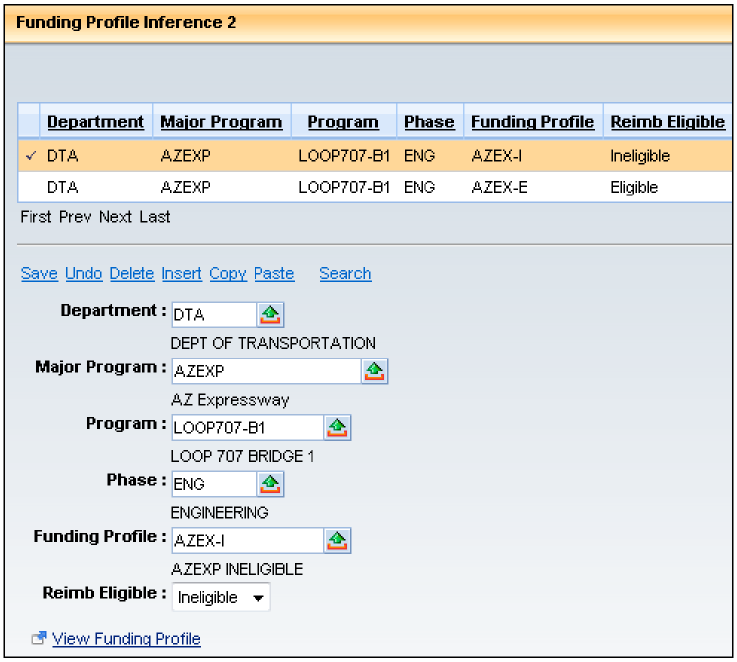
- ✓ User is logged in to the AFIS Home Page.
- ✓ The eligible Funding Profile has been established.
- ✓ The ineligible Funding Profile has been established.
- ✓ Entries have been made on the FPI2 page for the eligible and ineligible funding profiles.

Steps

A. Navigate to the Funding Profile Inference 2 (FPI2) page to view an inference rule for the ineligible expenditures for the AZ Expressway Project, Loop 707-Bridge 1 Program – Engineering Phase.

1. In the **Jump to** field, enter ***FPI2***.
2. Click **Go.** The **Funding Profile Inference 2** page is displayed.
3. Click **Search**. A Search window is displayed.
4. In the **Program** field**,** enter ***LOOP707-B1***.

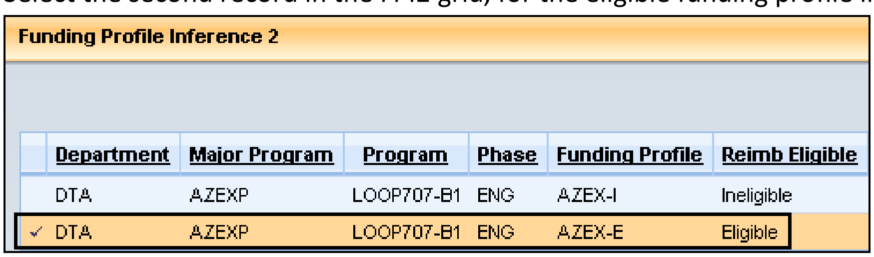
5. Click **Ok**. Two records are displayed in the grid: one for the ineligible funding profile and one for the eligible funding profile. The record for the ineligible funding profile is listed first and is highlighted in the grid.



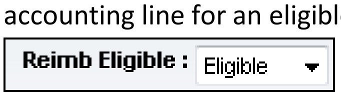
6. View the fields on the FPI2 page.
7. Notice the entry in the **Reimb Eligible** field is **Ineligible**, indicating this funding profile inference is for ineligible expenditures. This record tells AFIS to infer Funding Profile AZEX-I when this specific combination of Chart of Accounts elements is found on an accounting line for an ineligible expenditure.

B. View an inference rule for the eligible expenditures for the AZ Expressway Project, Loop 707-Bridge 1 Program – Engineering Phase, then return to the Home Page.

1. Select the second record in the FPI2 grid, for the eligible funding profile inference.



2. In the **Reimb Eligible** field, notice **Eligible** is selected. This record tells AFIS to infer Funding Profile AZEX-E when this specific combination of Chart of Accounts elements is found on an accounting line for an eligible expenditure.



3. Click **Home** on the Primary Navigation Panel to return to the Home Page.

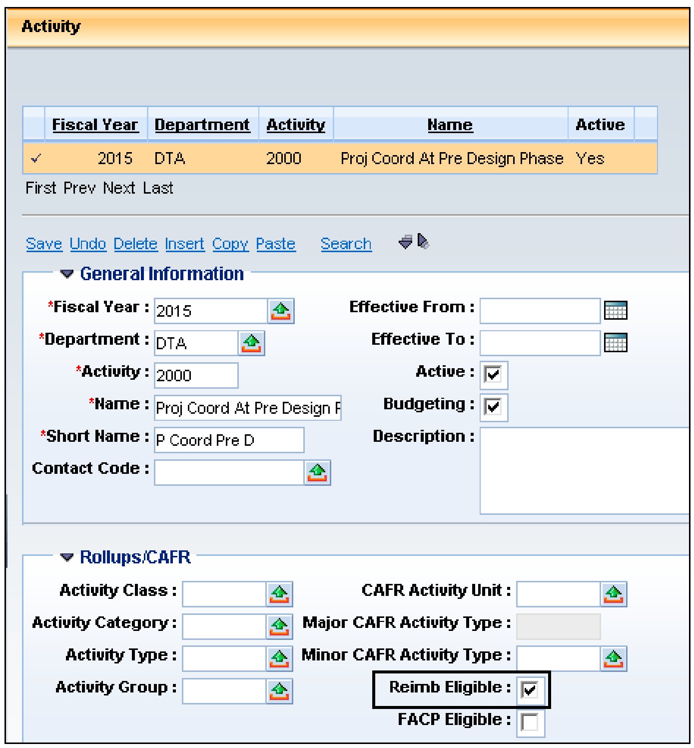
3.10. View an Activity Code

The Activity code is a Chart of Accounts element which is established on the Activity (ACTV) page. These codes can be used to track specific types of expenditures and identify those expenditures as eligible or ineligible for reimbursement for a project or grant. Activity codes are established by each department as needed for tracking purposes.

Activity codes are entered on the Detail Accounting tab, in the Accounting Line component, of expenditure documents.

An example of an Activity code is displayed in Figure 7. Notice the Reimb Eligible check box is checked for this Activity code.

Figure 7: Activity (ACTV) Page



ACTIVITY 3.10

View an Activity Code

Scenario

Review an entry on the ACTV page.

Setup

- ✓ User is logged in to the AFIS Home Page.

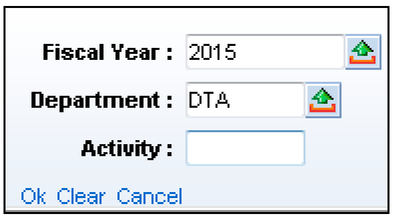
Steps

A. Navigate to the ACTV page.

1. In the **Jump To** field, enter ***ACTV***.
2. Click **Go**. The Activity page is displayed.

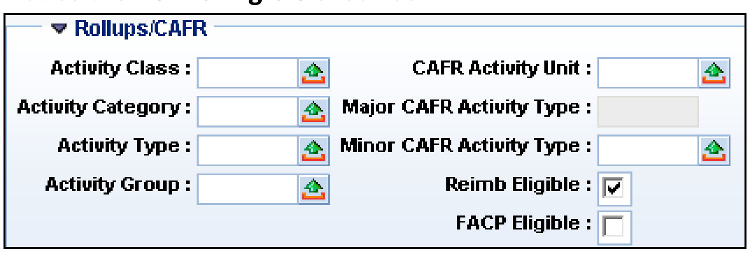
B. Search for a record on the Activity page.

1. Click **Search**. A Search window is displayed.
2. In the **Fiscal Year** field, enter ***2015***.
3. In the **Department** field, enter ***DTA***.
4. Click **Ok**.



C. Review the fields on the ACTV page, then return to the Home Page.

1. Click the **Rollups/CAFR** component to expand it.
2. Notice the **Reimb Eligible** check box.



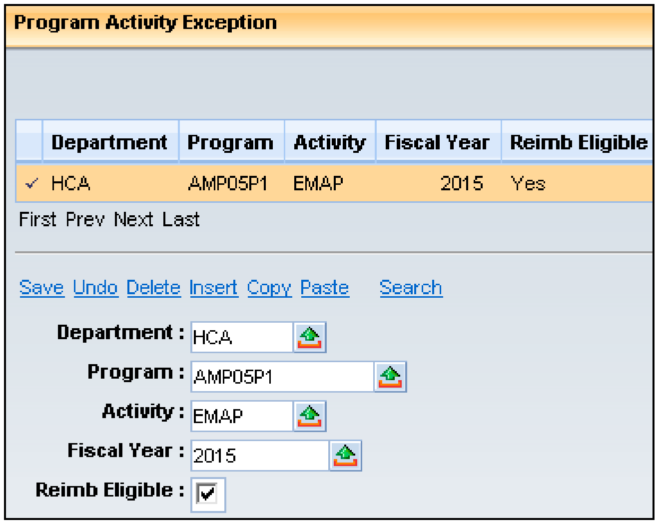
3. Click **Home** on the Primary Navigation Panel to return to the Home Page.

3.11. The Program Activity Exception Page

The Program Activity Exception (PAEX) page allows users to identify reimbursement eligibility exceptions for specific combinations of Program and Activity values. For example, it is possible for Program A to normally be ineligible for reimbursement and for Activity X to normally be ineligible for reimbursement. However, when the two are combined on the same Accounting Line, they may be determined to be eligible if the combination has been entered on PAEX with the Reimbursement Eligible flag set to eligible. Consequently, the entry on PAEX will allow this combination of values to be considered eligible even though the Program A and Activity X by themselves are considered ineligible.

An entry can also be made to enforce the reverse situation: an activity that is normally eligible for reimbursement can be identified as ineligible for a specific program by entering that combination on PAEX and leaving the Reimbursement Eligible flag unchecked. See Figure 8 an example of an entry on PAEX.

Figure 8: The Program Activity Exception Page



3.12. View an Object Code

An Object is a fund accounting Chart of Accounts element that represents what is being funded. Valid object codes and information related to each code are established on the Object (OBJ) page.

Two fields in the General Options component of OBJ are specific to the automated reimbursement or front end split process: Reimbursement Eligible and Reimbursable. The purposes of each field are as follows:

- **Reimbursement Eligible** - Identifies if the object code is eligible for reimbursement
- **Reimbursable** - Indicates the object code can be used by a selling party on an internal reimbursement purchase and for the providing party on an internal operational transfer

For example, if a grantor does not permit reimbursement for Fringe Benefits, the Reimbursement Eligible check box on the associated Object Code would be unchecked.

Activity 3.12

View an Object Code

Scenario

Review an entry on the OBJ page.

Setup

✓ User is logged in to the AFIS Home Page.

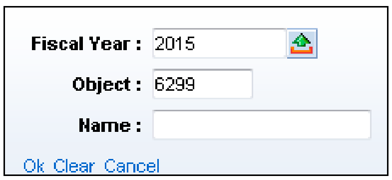
Steps

A. Navigate to the OBJ page.

1. In the **Jump To** field, enter ***OBJ***.
2. Click **Go**. The Object page is displayed.

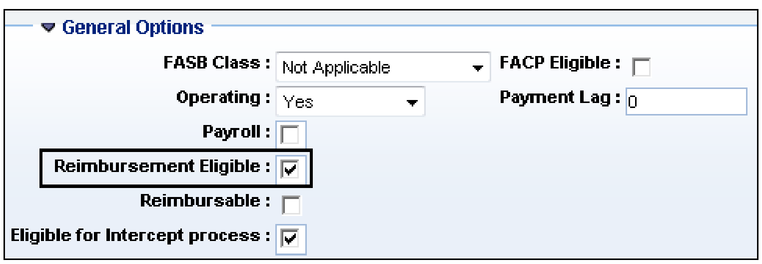
B. Search for a record on the Object page.

1. Click **Search**. A Search window is displayed.
2. In the **Fiscal Year** field, enter ***2015***.
3. In the **Object** field, enter ***6299***.
4. Click **Ok**.



C. Review the fields on the OBJ page, then return to the Home Page.

1. Click the **General Options** component to expand it.
2. Notice the **Reimbursement Eligible** check box is checked. This Object code is normally eligible for reimbursement.



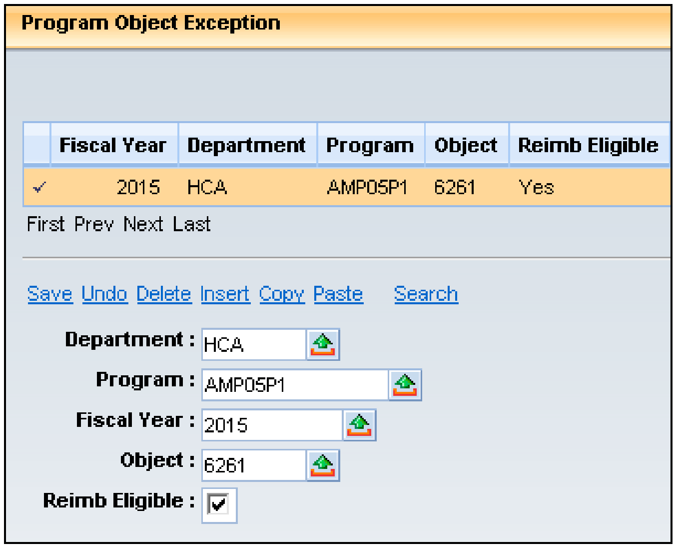
3. Click **Home** on the Primary Navigation Panel to return to the Home Page.

3.13. The Program Object Exception Page

Similar to PAEX, the Program Object Exception (POEX) page allows users to identify reimbursement eligibility exceptions of Program and Object values. For example, it is possible for Program A to normally be ineligible for reimbursement and for Object X to normally be ineligible for reimbursement. However, when the two are combined on the same Accounting Line, they may be determined to be eligible if the combination has been entered on POEX with the Reimbursement Eligible flag set to eligible. Consequently, the entry on POEX will allow this combination of values to be considered eligible even though the Program A and Object X by themselves are considered ineligible.

An entry can also be made to enforce the reverse situation: an object code that is normally eligible for reimbursement can be identified as ineligible for a specific program by entering that combination on POEX and leaving the Reimbursement Eligible flag unchecked. See Figure 9 for an example of an entry on POEX.

Figure 9: The Program Object Exception Page



Lesson Summary

In this lesson, you:

- Identified the preferred method to create projects and grants in AFIS
- Viewed a Major Program (MJPRG) record
- Viewed a Program on the Program Setup (PROG) page
- Defined the role of a Phase (PHASE)
- Viewed an entry on the Program Phase (PHPRG) page
- Identified the role of a Stage Profile and Stage Definitions
- Viewed an entry on the Program Period (PPC) page
- Defined the role of the Funding Profile Hierarchy and each of its components
- Viewed an entry on a funding profile inference page
- Reviewed an entry on the Activity (ACTV) page
- Reviewed an entry on the Object (OBJ) page
- Identified tables available to establish reimbursement eligibility exception rules

Check Your Progress

1. In AFIS, the Billing Agreement Date field identifies when reimbursement billing may begin for a Program or Program Phase.

    a. True
    b. False

2. ______ are Chart of Accounts elements that are standardized for each department. They are used to define stages of a project, and can be associated to multiple Programs for that department.

    a. Major Programs
    b. Programs
    c. Phases
    d. Activities

3. The ______________ pages are used to infer a Funding Profile on the Posting line of an expenditure document.

    a. Funding profile inference
    b. Program Phase
    c. Function
    d. Task Order

4. The ________ establishes time periods for a Major Program, and are often used to define grant award periods.

    a. Program
    b. Program Period
    c. Funding Profile
    d. Funding Line

5. If a new Stage should be added to a Stage Profile, this is done on the _____________________.

    a. Program Period page
    b. Stage Definition Setup page
    c. Stage Profile Select page

6. The Stage Start and Stage End dates are entered on the _________________ page, which is accessed from the _____________________ page.

    a. Stage Profile Select; Stage Profile
    b. Stage Profile Select; Program Period
    c. Stage Definition Setup; Program Period

7. If the Salary Object code is typically not eligible for reimbursement, but a grantor allows reimbursement for this type of expense for a specific grant, an entry can be made on the

_____________ page so that AFIS includes these transactions in the automated reimbursement process.

a. Object
b. Activity
c. Program Object Exception
d. Program Activity Exception

4. Cost Accounting Budget Structures

Learning Objectives

In this lesson, you will:

- Review the use of budget structures to establish and control budgets in AFIS
- Identify the program budget structures most commonly used by the State
- Recognize that Budget Structures 39 and 40 are the budget structures used for projects and grants using the AFIS automated reimbursement or front end split process
- Create program phase expense budget lines for eligible project expenditures using the BGPDE document
- Create program phase reimbursement budget lines for eligible project expenditures using the BGPDR document
- View information on a budget inquiry page
- Drill down to originating budget documents from a budget inquiry page

Lesson Overview

This lesson is a review of AFIS budget control and focuses on the reimbursement budget structures. Budget control is covered in detail in the AFIS Budgetary Control course.

Budget structures establish budget parameters and controls for transactions in AFIS. Although the State utilizes many different budget structures, specific budget structures are used for cost accounting. Each budget structure has a unique document which is used to create budgets within that budget structure.

Budget documents differ from most accounting documents because of the fields available for data entry, the mechanism used to calculate dollar values, and the process used to modify a budget line established by a previous budget document. In most cases, Budget Structures 38 is the most commonly used Program Budget Structure and Budget Structure 39 is the most commonly used reimbursement budget structure used.

Each budget structure has unique budget inquiry pages that display real time financial information and activity captured by that budget structure. From the budget inquiry page, you can drill down to the Detailed Transaction Listing page to identify the budget documents that generated the transactions.

4.1. Overview of Budget Structures

Budgets provide a way to capture and display expenditures and/or revenue compared to a pre-established plan. Budgets may also be used to control spending to avoid exceeding pre-established limits put in place by a legislative entity, manager, or budget office.

Within AFIS, a budget structure establishes the budget parameters and system controls for expenditures, revenues, or both. Each budget structure is based on specific combinations of Chart of Accounts elements.

A budget level is part of a budget structure. Each budget structure must have at least one budget level, although most have at least two levels. Each budget level is composed of one or more Chart of Accounts elements grouped together to determine how individual budgets are defined. For example, a budget level can consist of a Fund, Department, and Object. Budget levels form a strict hierarchy, such that lower budget levels must contain all Chart of Accounts elements of the higher level and at least one additional Chart of Accounts element.

Each unique combination in the Chart of Accounts elements is the basis for a unique budget line in the budget structure. Each level of the budget structure provides differing levels of detail for the budget line, with Level 1 providing the highest level and Level 2, Level 3, or Level 4 providing the most discrete level of budget information.

Multiple budget structures may be used concurrently to meet the different types of budget controls required by the State. For example, different budget structures may be used for project accounting versus grants accounting, and for expense versus revenue.

4.2. Budget Structures for Cost Accounting

There are two types of budget structures used to control cost accounting activities: program and reimbursement budget structures. Each provides a different type of budgetary control for the grant or project:

- **Program budget structures** - control how grant or project money is spent. The program budget structures used by the State are Budget Structures 37, 38, and 96
- **Reimbursement budget structures** - control how much grant or project money is left to spend. The reimbursement budget structures used by the State are Budget Structures 39 and 40

All grants and projects must have program budget lines established in AFIS. If a grant or project is using the automated reimbursement or front end split process, then reimbursement budget lines must also be established. The budget structures selected depend on department needs and the requirements of the individual project or grant.

Budget Structure 37 – Program Phase Expense

Budget Structure 37 is a program budget structure used for projects that require budgetary control at the Project Phase level. This budget structure provides three levels of control and queries:

- Level One - Department, Major Program
- Level Two - Department, Major Program, Program
- Level Three - Department, Major Program, Program, Phase

Budget Structure 38 – Program Period Expense

Budget Structure 38 is the program budget structure used most commonly for grants and projects that require budgetary control based on the award period.

The three levels of control and queries provided with Budget Structure 38 are:

- Level One - Department, Major Program
- Level Two - Department, Major Program, Program
- Level Three - Department, Major Program, Program, Program Period

Budget Structure 96 – Program Period Award

Budget Structure 96 is the program budget structure used when control is needed at the Program Period/Reporting Class level.

One level of control and query are provided with Budget Structure 96:

- Level One - Department, Major Program, Program Period, Task

Budget Structure 39 – Program Period Reimbursement

Budget Structure 39 is a reimbursement budget structure used for primarily for grants utilizing the automated reimbursement or front end split process in AFIS, and requiring control at the Program Period, or award period, level.

This budget structure provides two levels of control and queries:

- Level One - Department, Major Program, Program, Program Period, Funding Profile, and Funding Priority
- Level Two - Department, Major Program, Program, Program Period, Funding Profile, Funding Priority, and Funding Line

Budget Structure 40 – Program Phase Reimbursement

Budget Structure 40 is a reimbursement budget structure used for projects utilizing the automated reimbursement or front end split process in AFIS, and requiring control at the Program Phase level.

This budget structure provides two levels of control and queries:

- Level One - Department, Major Program, Program, Phase, Funding Profile, and Funding Priority
- Level Two - Department, Major Program, Program, Phase, Funding Profile, Funding Priority, and Funding Line

4.3. Create a Cost Accounting Budget

Budget structures are established in AFIS through the completion of a budget document. Each budget structure is associated with a unique document. Most budget documents begin with the prefix BG. The budget documents used for each of the project-related budget structures are:

- Budget Structure 37: the BGPHE document
- Budget Structure 38: the BGPDE document
- Budget Structure 96: the BGPD96 document
- Budget Structure 39: the BGPDR document
- Budget Structure 40: the BGPHR document

One budget document is used to establish a budget line at each level in the budget structure. Budget documents are also used to increase, decrease, deactivate, reactivate, and delete existing budget lines.

Budget Documents versus Accounting Documents

All budget documents differ from accounting documents in the following key ways.

- Budget documents contain an Increase/Decrease field that is used, in conjunction with a Dollar Amount field, to determine how to impact a budget line. The dollar amount cannot be negative. In comparison, accounting documents do not contain an Increase/Decrease field, and dollar amounts can be either a positive or negative amount
- On a budget document, the user enters the dollar amount that is the delta, or the desired change from the previous entry. In accounting documents, the dollar amount entered is the correct amount after the change. The system calculates the delta amount that must be posted to achieve this amount
- Budget documents contain an Action field that enables you to create new budget lines as well as to modify, deactivate, reactivate, and delete existing budget lines
- Budget documents do not have a function of Modification or Cancellation; therefore, a budget document never has a version number greater than one
- Other differences in how budget documents post in the system are outlined in AFIS online help

For example, if a project budget was established for $100,000, but an additional $50,000 was awarded, a new budget document would be created to increase the budget. The data in the pertinent fields on the budget document would be:

- **Action** - Modify
- **Increase/Decrease** - Increase

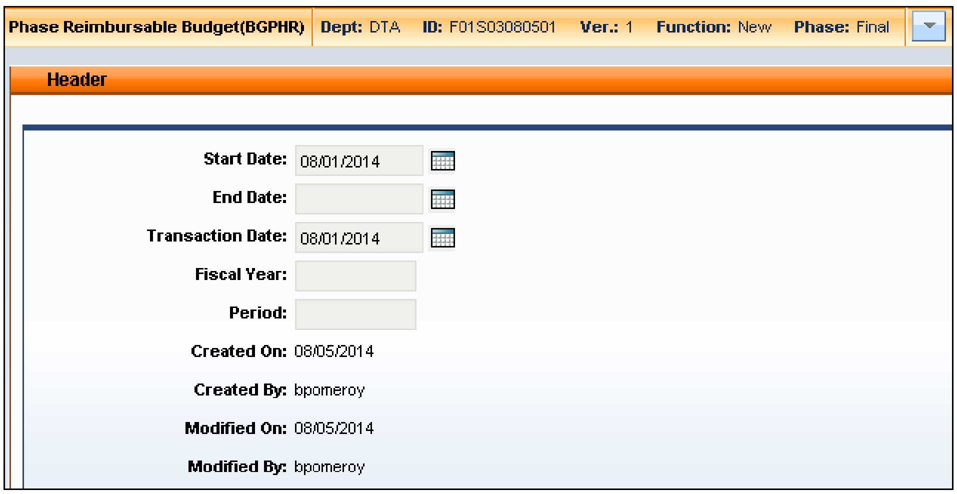
- **Dollar Amount** - 50,000

When the budget document is submitted to Final Phase, the project budget would be increased to a total of $150,000.

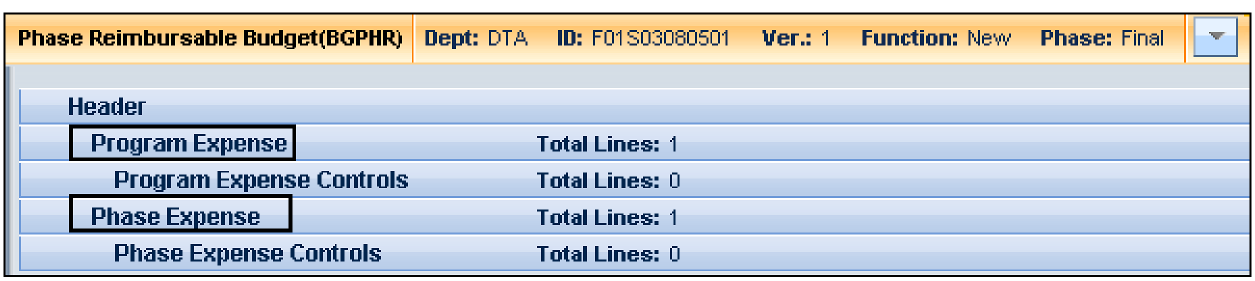
Budget Document Structure

All budget documents contain the Header and the Budget Level components. Each budget level also has a Controls tab that displays the budget controls in place for that budget level. Data is never entered on the Controls tabs. They are for informational purposes only.

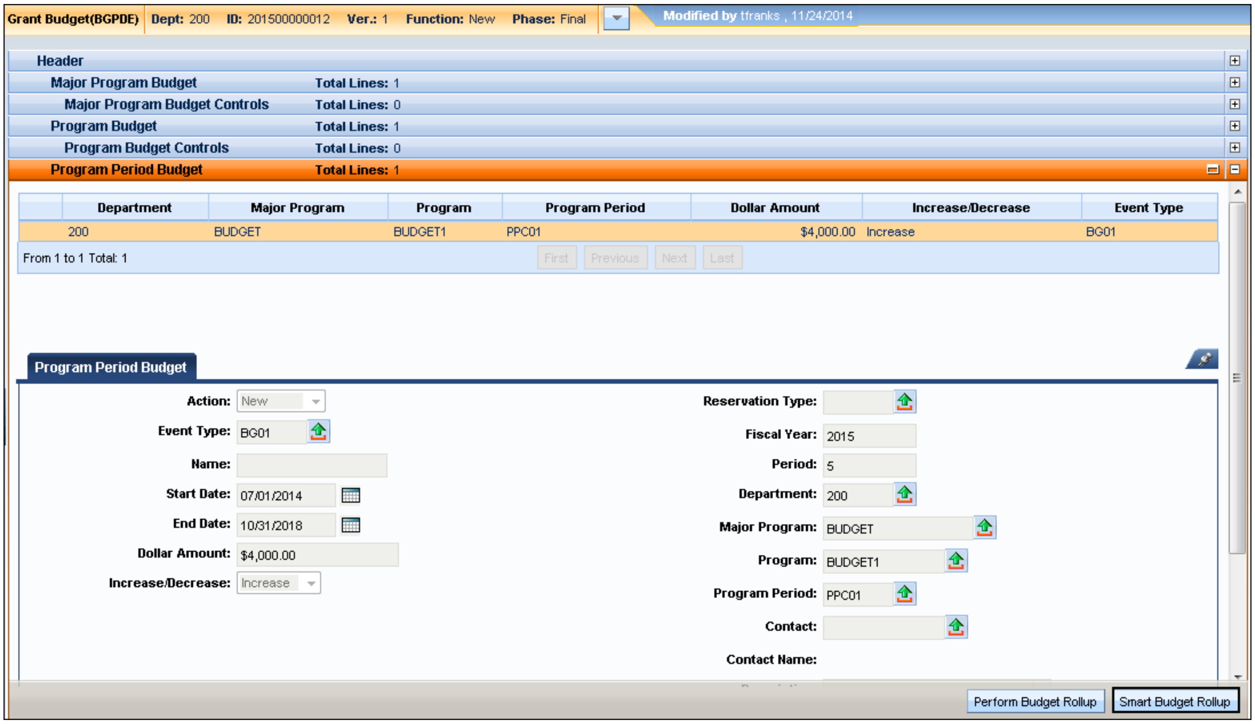
The Header component identifies Start Date, End Date, Fiscal Year, Transaction Date, and Accounting Period for the document. The fiscal year and period associated with the Created On date are defaulted, but may be overwritten with prior or future fiscal periods.



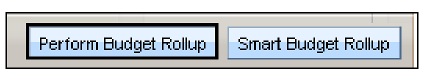
The Budget Level components identify the Chart of Accounts elements for each level of control within the budget structure. As identified in the previous topic, the number of levels and the Chart of Accounts elements controlled by each level varies for each budget structure. Each budget level allows you to create or modify a budget line with the associated dollar amount of the action.



A key feature of the budget document is the Smart Budget Rollup button. This feature allows the user to enter a budget line at the lowest level in a budget structure, then automatically create the higher level budget lines by clicking the Smart Budget Rollup button. For example, for program budget lines using Budget Structure 38, you may enter data at the Program Period Budget Level, then use the Smart Budget Rollup functionality to populate data on the Program Budget and Major Program Budget levels of the budget structure. In creating the higher level budget lines, the Smart Budget Rollup process also looks at the upper budget level(s) to determine if any of the higher level budget lines already exist. If so, and if the lower level line was entered with a line action of New, the higher level line(s) would be created as Modify. This ensures that all levels of the budget structure remain in balance.



Also present on the budget document is the Perform Budget Rollup button. Clicking this button will also create the higher levels of the budget structure, but this process does not check for existing budget lines at the higher levels of the budget structure. Therefore, this button is used only when it is known that budget lines have not been created, such as during initial budget preparation. On the job, it is best practice to use the Smart Budget Rollup button.



Establish Budgets for Cost Accounting

As mentioned, the budget structures used for each cost accounting activity will depend on the characteristics of the grant or project. If the grant or project is using the automated reimbursement or front end split process, then both a program budget and reimbursement budget document must be created.

For the AZ Expressway Project scenarios in this lesson, we will use the BGPDE and BGPDR documents.

Within the budget document, budget lines are created for each unique combination of Chart of Accounts elements. Using our example, the budget for the AZ Expressway Project, Loop 707-Bridge 1 Program - Engineering Phase is $40,000. A single budget line for $40,000 is entered on a BGPDE document to control how the project funds are expended. In addition, two budget lines are entered on a BGPDR document: one budget line for each Funding Line on the eligible Funding Profile. The dollar amount is distributed between the two Funding Lines according to the 80/20 funding split as illustrated in Table 3.

***Note**: In practice, additional budget lines are also created for ineligible costs. For instructional purposes, the activities in this lesson will only include budget lines for eligible costs.*

Table 3: Budget Lines for the AZ Expressway Project – Engineering Phase

Budget Doc Code	Budget Line	Program	Program Period	Funding Profile/ Funding Priority/ Funding Line	Dollar Amount
BGPDE	1	XXXX	XXXX	N/A	$1,500,000
BGPDR	1	XXXX	XXXX	XX/10/**1**	$1,000,000
BGPDR	2	XXXX	XXXX	XX/10/**2**	$500,000

When additional project phases are budgeted, additional budget documents are created in a similar manner.

Event Types on Budget Documents

The Event Type field on a budget document tells AFIS how to process a budget transaction, and determines the budget tracking field that the transaction is posted to. Different Event Types are used depending on the budget structure that is selected for the project. The Increase/Decrease field provides additional instruction to AFIS, regarding the direction of the change, because negative numbers are not entered on budget documents. For more information on budget transactions see the AFIS Budgetary Control course.

For Budget Structures 39 and 40, the Event Type BG22 is used for all budget lines for proper functioning of budgets with the automated reimbursement or front end split process. For Budget Structures 37, 38, and 96, multiple Event Types are used. Refer to Table 4 for the appropriate combinations of the Event Type and Increase/Decrease fields based on the type of budget action desired.

Table 4: Event Type and Increase/Decrease Fields on Budget Documents

Desired Action	Budget Structures 37, 38, and 96		Budget Structures 39 and 40		
	Event Type	Inc/Dec		Event Type	Inc/Dec
Increase Adopted	BG01	INCREASE	Awarded	BG22	INCREASE
Decrease Adopted	BG01	DECREASE	Awarded	BG22	DECREASE
Amend Adopted	BG03	INC/DEC	Awarded	BG22	INC/DEC
Budget Transfer In	BG06	INCREASE	Awarded	BG22	INCREASE
Budget Transfer Out	BG07	INCREASE	Awarded	BG22	DECREASE

Activity 4.3

View a Project Budget Documents (BGPDE and BGPDR)

Scenario

View the appropriate budget lines for the $1,500,000 AZ Expressway Project, Loop 707-Bridge 1 Program – Engineering Phase.

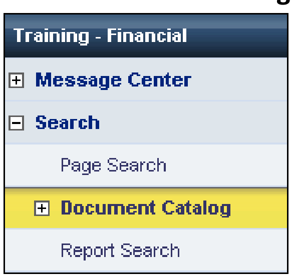
Setup

- ✓ User is logged in to the AFIS Home Page.
- ✓ The Major Program, Program, Phase, Program Period, Funding Profile hierarchy, and funding profile inference records for the AZ Expressway Project, Loop 707-Bridge 1 Program have been established.
- ✓ BGPDE and BGPDR documents to establish budget lines for the project have been submitted to Final Phase.

Steps

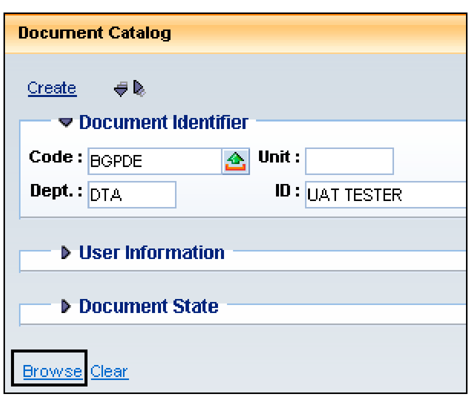
A. Navigate to the Document Catalog.

1. On the Secondary Navigation Panel, click **Search**.
2. Click **Document Catalog**.

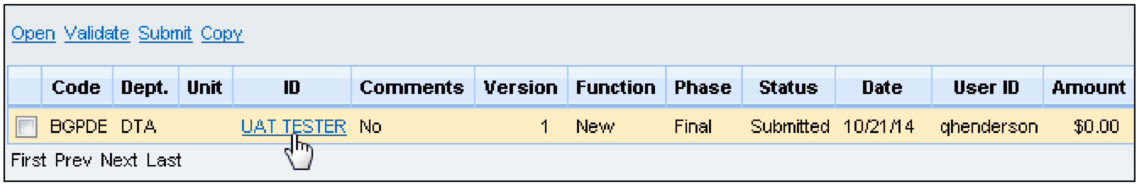


B. Search for and open the BGPDE document for the AZ Expressway Project.

1. In the **Code** field, enter ***BGPDE***.
2. In the **Dept** field, enter ***DTA***.
3. In the **ID** field, enter ***UAT Tester***.
4. Click **Browse.** The BGPDE document is listed in the grid.



5. In the **ID** column, click the ID for the BGPDE document.



Open Validate Submit Copy

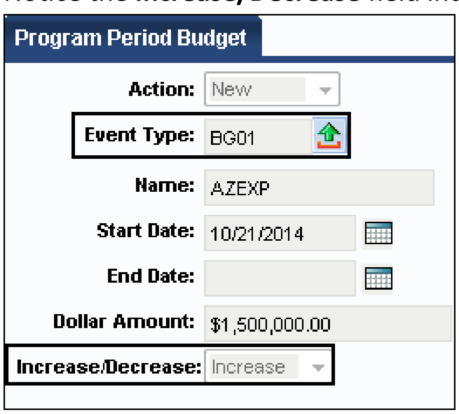
	Code	Dept.	Unit	ID	Comments	Version	Function	Phase	Status	Date	User ID	Amount
☐	BGPDE	DTA		UAT TESTER	No	1	New	Final	Submitted	10/21/14	qhenderson	$0.00

First Prev Next Last

C. View the budget information in the BGPDE document for the AZ Expressway Project, Loop 707-Bridge 1 Program – Engineering Phase.

1. To navigate within a document, you can either click the component name at the bottom of the document or use the Document Navigator panel. In this training, you will use the Document Navigator. If the Document Navigator panel is not displayed, click the **Open Document Navigator** icon (small arrow on left side) to switch to Document Navigator mode.
2. On the Document Navigator, click **Program Period Budget**.

3. Notice the **Event Type** is BG01 (Adopt an Expense Budget).
4. Notice the **Increase/Decrease** field indicates this is an Increase.



5. As this is the Program Period Budget you will notice that Department, Major Program, Program, and Program Period have been populated with our AZ Expressway structure.

D. View the impact of the Smart Budget Rollup. The Smart Budget Rollup builds the remaining levels of the budget structure up to Level 1 based on the budget entered at the Program Period level.

1. On the Document Navigator, click **Program Budget**.
2. Notice the budget line created is at the Program level.
3. On the Document Navigator, click **Major Program Budget**.

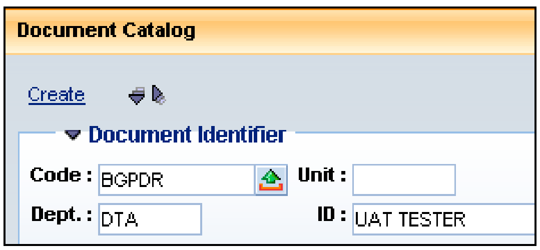
4. Notice the budget line created is at the Major Program level.

E. Click Close and return to the Home Page.

1. Click **Close**.
2. Click **Home** in the Primary Navigation Panel to return to the Home Page.

F. Search for and open the BGPDR document for the AZ Expressway Project.

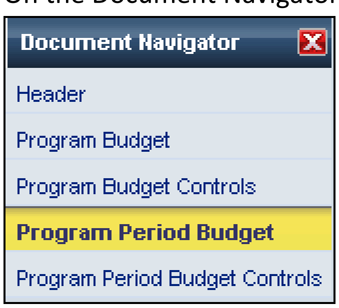
1. On the Secondary Navigation Panel, click **Search**.
2. Click **Document Catalog**.
3. In the **Code** field, enter ***BGPDR***.
4. In the **Dept** field, enter ***DTA***.
5. In the **ID** field, enter ***UAT Tester.***



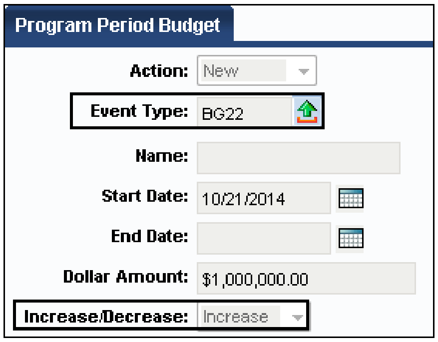
6. Click **Browse**. The BGPDR document is listed in the grid.
7. In the **ID** column, click the ID for the BGPDR document.

G. View the budget information in the BGPHR document for the Federal funding of the Loop 707 - Bridge 1 – Engineering Phase for the AZ Expressway Project (Funding Line One).

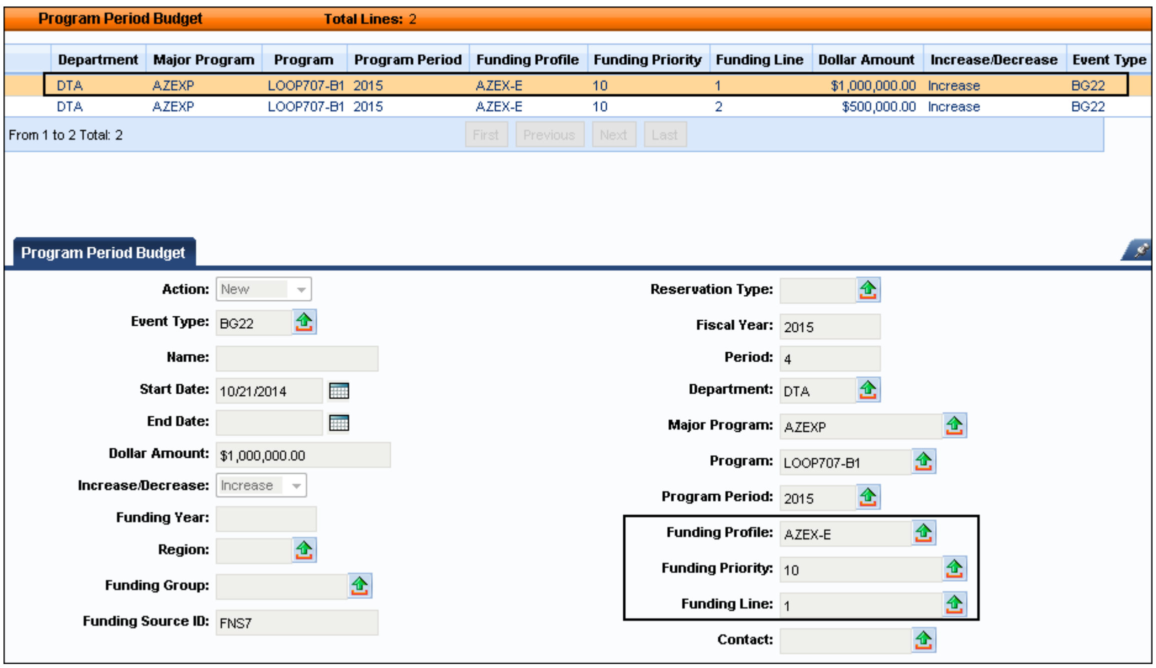
1. To navigate within a document, you can either click the component name at the bottom of the document or use the Document Navigator panel. In this training, you will use the Document Navigator. If the Document Navigator panel is not displayed, click the **Open Document Navigator** icon (small arrow on left side) to switch to Document Navigator mode.
2. On the Document Navigator, click **Program Period Budget**.



3. Notice the **Event Type** is **BG22** (Award Reimbursable Budget).
4. Notice the **Increase/Decrease** field indicates this is an Increase.

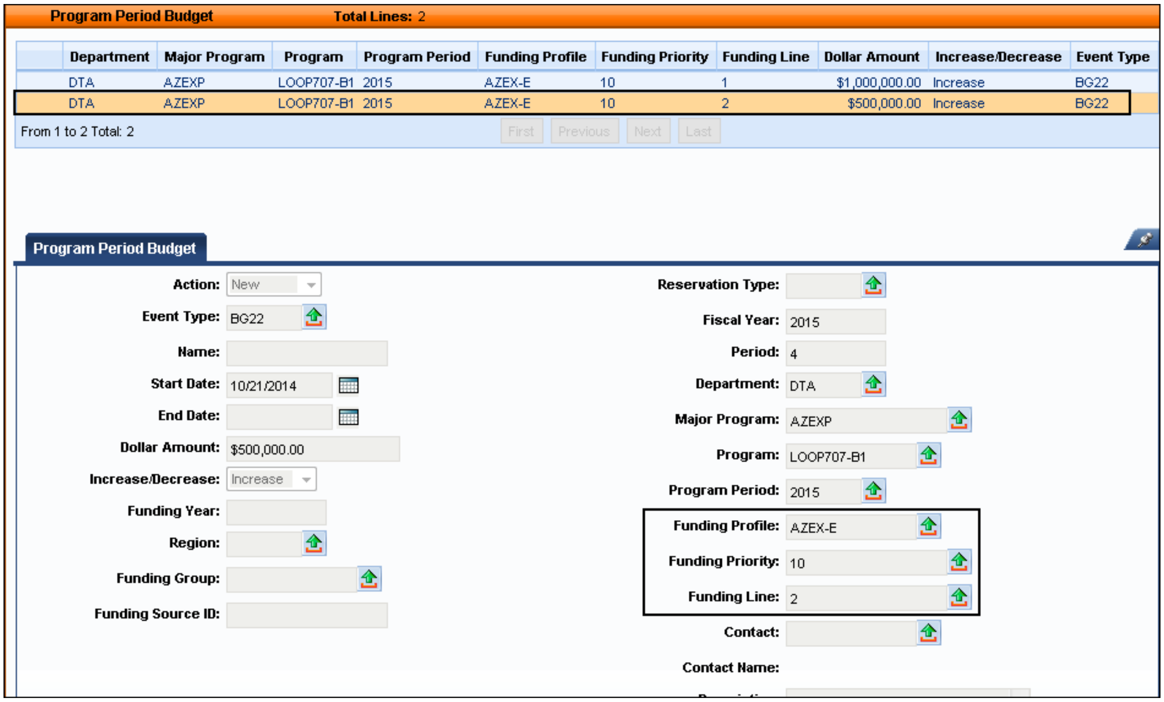


5. The **Department, Major Program, Program**, and **Program Period** have been updated for our AZ Expressway example.
6. Notice the first budget line establishes a budget for Funding Priority 10 and Funding Line 1 for the eligible Funding Profile AZEXP-E.



H. View the budget information in the BGPDR document for the State Match funding of the Engineering Phase for the Loop 707-Bridge 1 Program – Engineering Phase of the AZ Expressway Project (Funding Line Two).

1. In the Program Period Budget grid, click the second **Budget Line**.
2. The information for Funding Line 2 of the AZEX-E Funding Profile is displayed in the scalar.



I. View the impact of the Smart Budget Rollup.

1. On the Document Navigator, click **Program Budget**.
2. The Smart Budget Rollup summed the two Funding Line entries and displays the full budgeted amount for the Program at the Funding Priority level.

3. Click **Close**.
4. Click **Home** on the Primary Navigation Panel to return to the Home Page.

> ***Note***: *Normally, a budget line for the ineligible Funding Profile is also established.*

4.4. Overview of Budget Inquiry Pages

You have now established a project phase budget. Inquiry pages within AFIS provide quick, real-time information on the budget status of a project.

Budget Inquiry Pages

When creating budget lines using the BGPDE and BGPDR documents, all of the budget levels within each budget structure are displayed on a single document; however, there is a unique inquiry page for each level of a budget structure. The naming convention for budget inquiry pages is BQXXLV# where XX is the budget structure ID number and # is the level number. For example, the inquiry pages for Budget Structure 39 are BQ39LV1 and BQ39LV2.

Budget inquiry pages are accessed by entering the appropriate codes in the Page Code field on Page Search, or by using the Jump to action. Once you navigate to one of the budget inquiry pages for a project, you may also use the links at the bottom of the page to navigate between the different levels of the budget structure for that project. For this topic, we will use both the Jump to action and the page navigation links.

4.5. View a Cost Accounting Budget Inquiry Page

The budget inquiry pages provide real time summaries of actual expenditures, actual revenues, and budgeted amounts. This topic examines the Budgeted Amounts component of the budget inquiry pages in more detail.

> ***Note**: Budget and expenditure transactions are reflected on a budget inquiry page when AFIS documents are submitted to Final Phase.*

Activity 4.5

View a Project Budget Inquiry Page

Scenario

Now that you have viewed the budget documents for the AZ Expressway Project in AFIS, navigate to the budget inquiry pages to view the project budget lines.

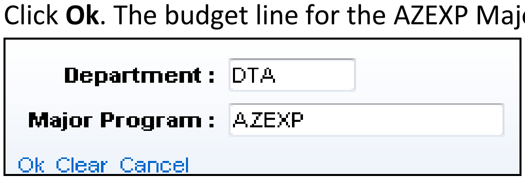
Setup

- ✓ User is logged in to the AFIS Home Page.
- ✓ The Major Program, Program, Phase, Program Period, Funding Profile hierarchy, funding profile inference and budget lines for the AZ Expressway Project, Loop 707-Bridge 1 Program – Engineering Phase have been established.
- ✓ The BGPDE and BGPDR documents establishing the budget have been submitted to Final Phase.

Steps

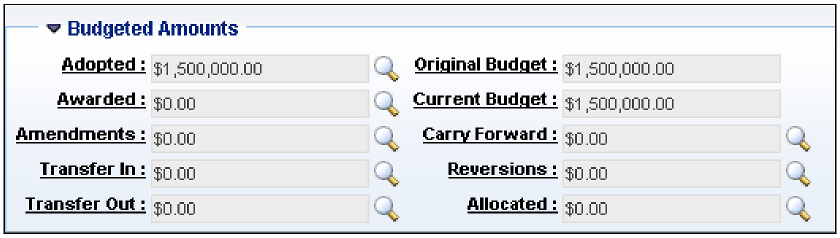
A. Navigate to the Major Program Budget: Level 1 (BQ38LV1) page to view details for the program budget for the AZ Expressway Project.

1. In the **Jump to** field, enter ***BQ38LV1***.
2. Click **Go**. The **Major Program Budget** page opens and a Search window is displayed.
3. In the **Department** field, enter ***DTA.***
4. In the **Major Program** field, enter ***AZEXP.***
5. Click **Ok**. The budget line for the AZEXP Major Program is displayed.

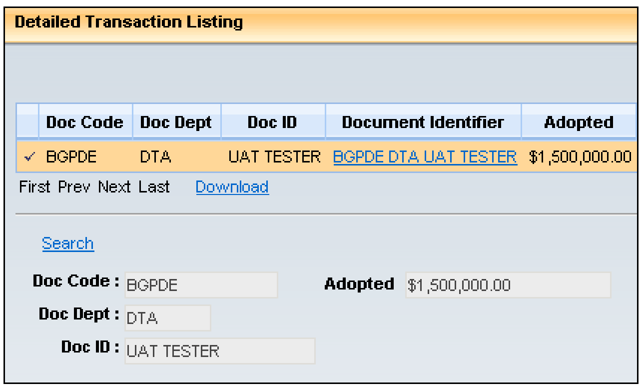


B. Review the program budget for the AZ Expressway Project at the Major Program level.

1. Click the **Budgeted Amounts** component to expand it.



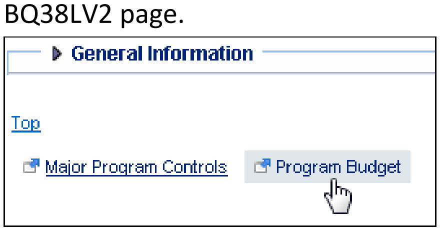
2. Notice the $1,500,000 budgeted amount at the Major Program for the project in the **Adopted, Current Budget,** and **Original Budget** fields.
3. For the **Adopted** field, click the **Magnifying Glass** icon to drill down to the **Detailed Transaction Listing.** Notice the grid displaying originating budget document with links in the **Document Identifier** field.



4. Click the **Document Identifier** link to navigate to the BGPDE budget document.
5. Click the **Close** button to close the budget document. You are returned to the Detailed Transaction Listing.
6. Click **OK** to return to the budget inquiry screen.

C. Navigate to the Program Budget (BQ38LV2) inquiry page.

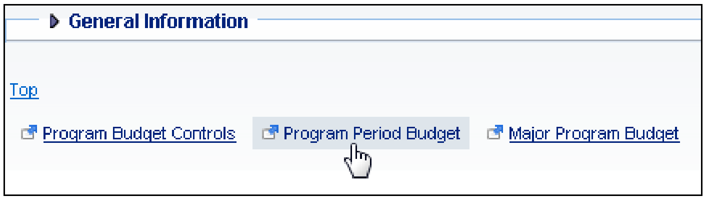
1. Instead of using the **Jump to** field, while viewing the budget information for the Major Program Budget, scroll to the bottom of the page and click the **Program Budget** link to navigate to the BQ38LV2 page.



2. View the information contained on the Program Budget inquiry page for the AZ Expressway Project.

D. Navigate to the Program Period (BQ38LV3) inquiry page.

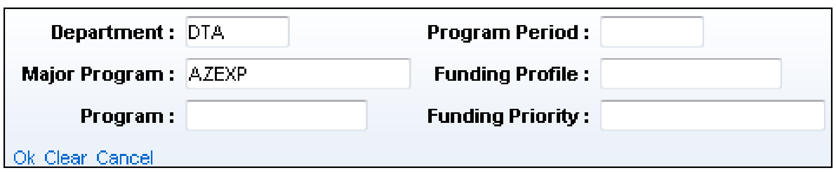
1. Scroll to the bottom of the page and click the **Program Period Budget** link to navigate to the BQ38LV3 page.



2. View the information contained on the Program Period Budget inquiry page for the AZ Expressway Project.

E. Navigate to the Reimbursable Grant: Funding Priority (BQ39LV1) page to view details for the budget for the AZ Expressway Project.

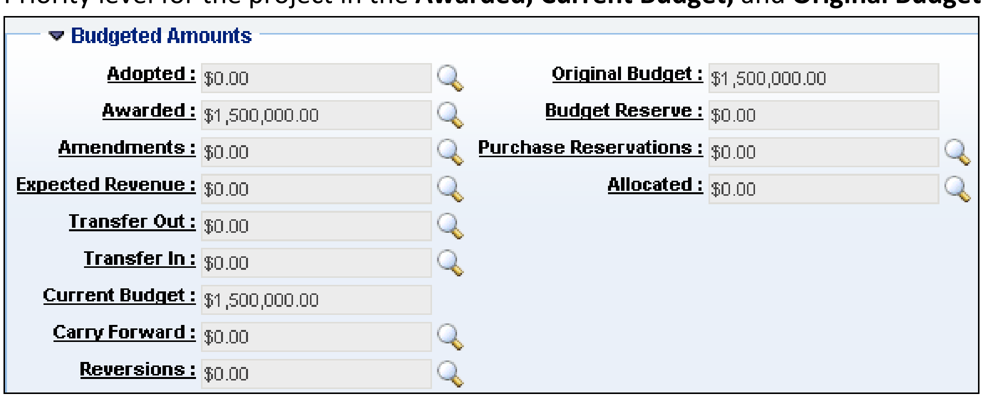
1. In the **Jump to** field, enter ***BQ39LV1***.
2. Click **Go**. The **Reimbursable Grant: Funding Priority** page opens and a Search window is displayed.
3. In the **Dept** field, enter ***DTA***.
4. In the **Major Program** field, enter ***AZEXP***.
5. Click **Ok**.



F. Review the budget for the Loop 707-Bridge 1 Program - Engineering Phase of the AZ Expressway Project at the Funding Priority level.

> ***Note**: In practice, normally two budget lines will be displayed: one for the eligible Funding Profile and one for the ineligible Funding Profile.*

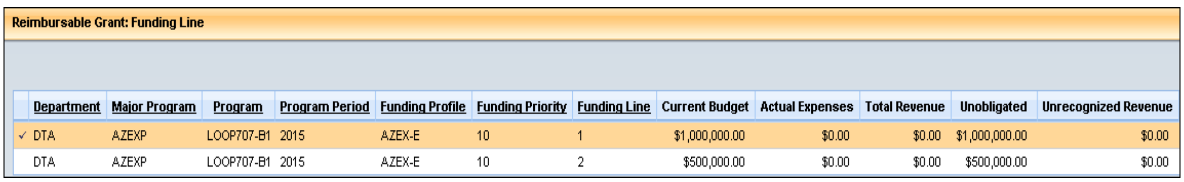
1. Click the **Budgeted Amounts** component to expand it.
2. In the **Budgeted Amounts** component, notice the $1,500,000 budgeted amount at the Funding Priority level for the project in the **Awarded, Current Budget,** and **Original Budget** fields.



G. Navigate to the Reimbursable Grants: Funding Line (BQ39LV2) inquiry page, and then return to the Home Page.

1. Scroll to the bottom of the page and click the **Program Period Budget** link to navigate to the BQ39LV2 page.

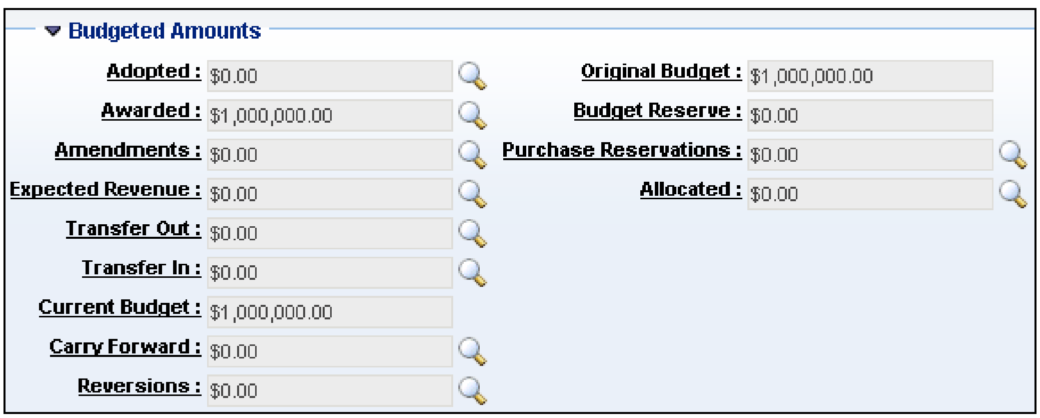
2. View the information contained on the Reimbursable Grant: Funding Line inquiry page for the Loop 707- Bridge 1 Program - Engineering Phase of the AZ Expressway Project. In the summary grid, notice there is a check mark to the left of the first line, indicating you are viewing the details for Funding Line **1**.



Reimbursable Grant: Funding Line

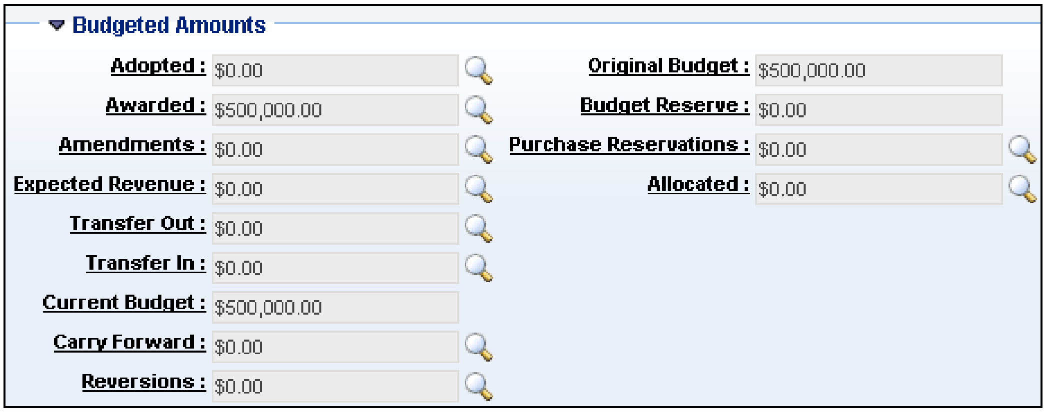
	Department	Major Program	Program	Program Period	Funding Profile	Funding Priority	Funding Line	Current Budget	Actual Expenses	Total Revenue	Unobligated	Unrecognized Revenue
✓	DTA	AZEXP	LOOP707-B1	2015	AZEX-E	10	1	$1,000,000.00	$0.00	$0.00	$1,000,000.00	$0.00
	DTA	AZEXP	LOOP707-B1	2015	AZEX-E	10	2	$500,000.00	$0.00	$0.00	$500,000.00	$0.00

3. Click the **Budgeted Amounts** component to expand it. Notice the **$1,000,000** budget in the **Awarded, Current Budget** and **Original Budget** fields for the Federal funding in Funding Line One.



4. Click the **Magnifying Glass** icon, beside the Awarded field, to drill down to the **Detailed Transaction Listing.** Notice the grid displaying originating budget document and the dollar amount of the transaction.
5. Click **OK** to return to the budget inquiry screen.
6. In the summary grid, click the line for Funding Line **2**.

7. Notice the **$500,000** budget in the **Awarded, Current Budget**, and **Original Budget** fields for the State Match funding in Funding Line Two.



8. Click **Home** on the Primary Navigation Panel to return to the Home Page.

Lesson Summary

In this lesson, you:

- Reviewed the use of budget structures to establish and control budgets in AFIS
- Identified the program budget structures most commonly used by the State
- Recognized that Budget Structures 39 and 40 are the budget structures used for projects and grants using the AFIS automated reimbursement or front end split process
- Created program period budget lines for eligible project expenditures using the BGPDE document
- Created program period reimbursement budget lines for eligible project expenditures using the BGPDR document
- Viewed information on a budget inquiry page
- Drilled down to originating budget documents from a budget inquiry page

Check Your Progress

1. Which are true about budget structures?
   a. Budget structures are used to track and control expenditures in AFIS
   b. Budget structures are based on different combinations of Chart of Accounts elements
   c. Both a. and b.
2. The most common budget structures used for grants and projects are _________.
   a. Budget Structures 37 and 38
   b. Budget Structures 38 and 39

c. Budget Structures 39 and 40

3. Which is true of a budget document as compared to an accounting document?
    a. A budget document has an Increase/Decrease field whereas an accounting document does not
    b. In a budget document, only a positive number may be entered in the Dollar Amount field, whereas in an accounting document either a positive or negative amount may be entered in the Dollar Amount field
    c. In a budget document that is used to modify a budget, the dollar amount entered reflects the delta or the dollar amount to be changed, whereas the dollar amount entered on an accounting document is what should appear
    d. A budget document will always have a version number of one, whereas an accounting document will have a new version number assigned when the document is modified
    e. a., b., c., and d.
4. The Smart Budget Rollup button is used to create budget lines for higher levels in the budget structure based on the budget information entered at the lowest level of the budget document.
    a. True
    b. False
5. You may only use Page Search or the Jump to field to navigate to each budget inquiry page.
    a. True
    b. False

5. Cost Accounting Setup Document

Learning Objectives

In this lesson, you will:

- Create a Cost Accounting Setup (CAS) document to create a new cost structure and new budget lines
- View the BGPDR and BGPDE documents created from the CAS document
- Create an entry on the Funding Profile Inference 4 (FPI4) page for eligible expenditures and ineligible expenditures
- View the records on Major Program reference tables created from the CAS document
- View the budget lines created by the BDPDR and BGPDE documents

Lesson Overview

The preferred method to establish a project or grant, or to create new components for an existing project or grant, in AFIS is completion of a Cost Accounting Setup (CAS) document. The CAS document is used to:

- Create some but not all of the Chart of Accounts elements used for cost accounting
- Add new Programs, Program Periods, and Funding Profiles to an existing Major Program
- Add new Phases to an existing Program
- Create an inference on the Funding Profile Inference 2, 5, or GFPI pages, if appropriate
- Create a budget document for the new project or grant

The CAS document cannot be used to:

- Modify entries on an existing records on any of the Major Program pages
- Create new entries on the Phase page
- Create entries on any other funding profile inference page

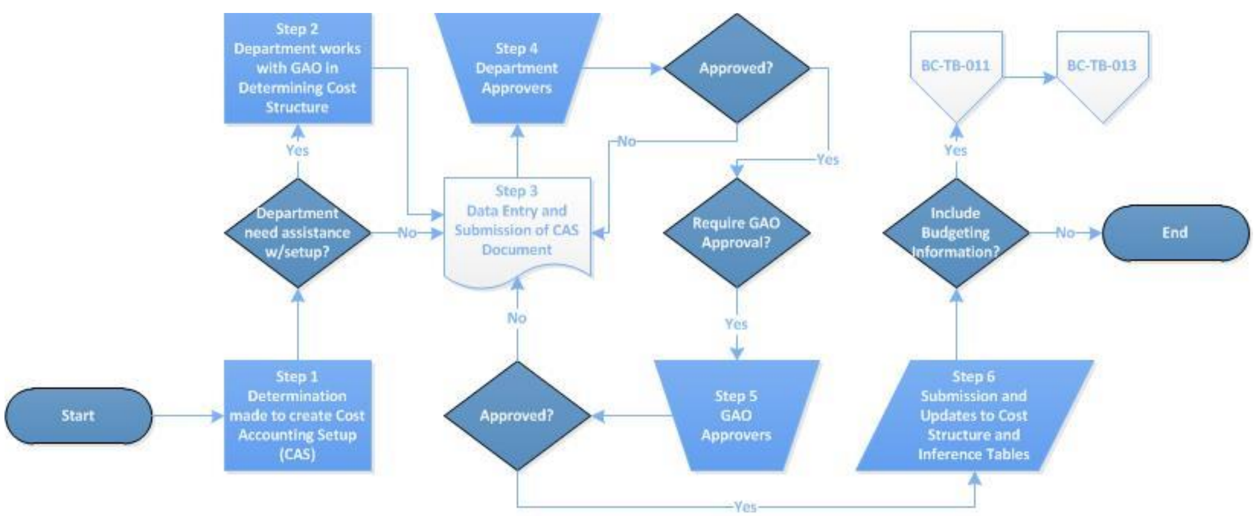
5.1. State Process Overview

The steps below describe the statewide process. Your agency may have additional requirements. This process is referenced in To Be ID PA-TB-001 and represented Figure 10 by below.

1. Managers within each department identify the cost structures data elements required to track the related expenditures, revenues, and budget balances for grants, projects, programs, and jobs within the cost accounting module. If a department requires assistance establishing a new cost structure, the managers within each department will work with the General Accounting Office (GAO).

2. Managers within each department will work with the GAO to determine the optional configuration of the cost structure for the department's needs.
3. The department is responsible for completing the Cost Accounting Setup (CAS) document. Additional supporting information and/or justification documentation may be attached to the CAS document. Once completed, the document will be validated and submitted, routing it through workflow for approval.
4. The CAS document requires review and approval by the department. Departmental approval will be configured for the individual departments as needed. If a document is rejected, it will be set to a draft state allowing department users to modify or correct the document and resubmit. CAS documents created by the department require GAO approval. CAS document will be routed to GAO for review and approval.
5. The CAS documents will be routed through workflow to the GAO for review and approval. If a document is rejected, it will be set to a draft state allowing department users to modify or correct the document and resubmit.
6. When final approval has been applied, the CAS document updates the relevant Cost Accounting Structure and inference tables, establishing the cost structure. If budget information is included on the CAS document, expenditure and reimbursement budget documents will be generated to establish the budget balances for the cost structure.

Figure 10: Process of Creating a Cost Accounting Setup Document (PA-TB-001)



5.2. Overview of the Cost Accounting Setup (CAS) Document

A CAS document is used to create most, but not all elements of a cost structure that define a project or grant. A CAS document is the preferred method to create project and grant elements because the document can be routed for review and approval through workflow, it provides an audit trail of who created the new elements and when they were created, and allows supporting electronic files to be attached to the document.

A CAS document creates new records on the following reference pages.

- Major Program
- Program
- Program Phase
- Program Period
- Funding Profile, Funding Priority, Funding Line, Internal Buyer Funding Line, and Funding Profile Inference (for grants and projects using the automated reimbursement or front end split process)

CAS documents can be used to add new Programs and/or Program Periods to existing Major Programs, but cannot be used to modify fields on existing records on any of the Major Program reference pages. Changes to existing Major Program, Program, Program Period, Program Phase, and Funding Profile records must be made using the Cost Accounting Modification (CAM) document. The CAM document is discussed in the next lesson.

The CAS document can be used to associate Phases to new or existing Programs, but cannot be used to create new Phases. Any new Phases to be referenced on the CAS document must be established by the department on the Phase (PHASE) page in advance.

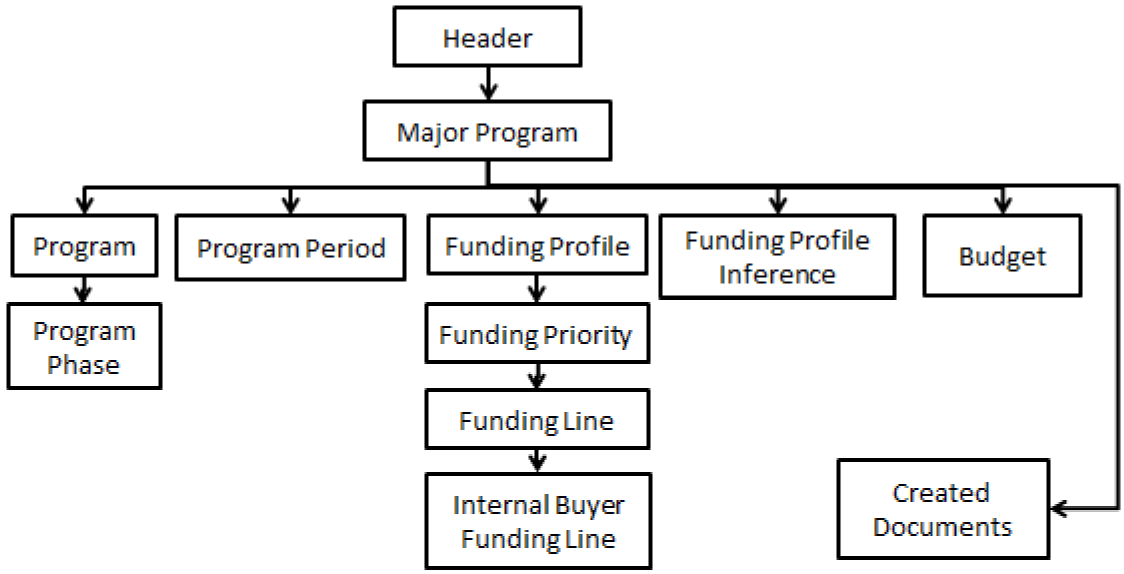
The CAS document can be used to associate an existing Stage Profile with a new Program Period, but cannot be used to enter Stage Start Dates and Stage End Dates on the Stage Definition Setup page. Stage Definitions must be established by navigating to the new PPC record after the CAS document is submitted to Final Phase. At this time, the State is not using Stage Profiles and Stage Definitions.

The CAS document creates BGPHE, BGPDE, BGPDR, and BGPHR documents, in Final Phase, as appropriate for the Major Program identified. The budget line may be either for a new Program created on that same CAS document or for an existing Program within that cost structure.

5.3. CAS Document Components

Documents in AFIS are made up of various components (sometimes referred to as ‘sections’). CAS documents contain 12 components. Figure 11 illustrates the relationship between these components.

Figure 11: Cost Accounting Setup Document Component Relationships



The components of a CAS document are:

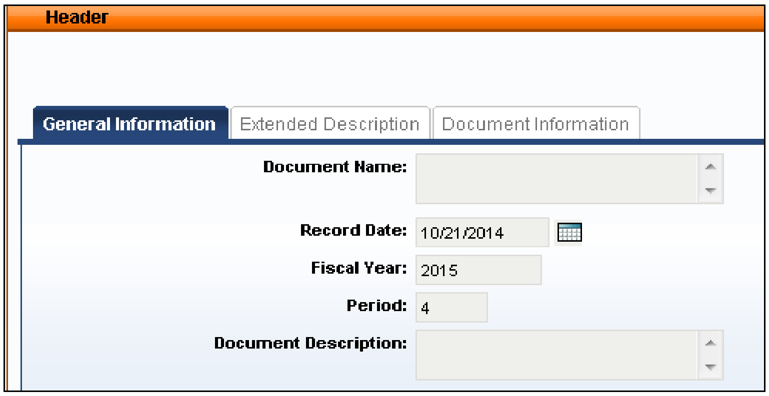
- **Header -** Stores values that apply to the entire document
- **Major Program** - Creates or identifies the Major Program that defines the grant or project and sets global characteristics for all Programs defines within the Major Program
- **Program -** Creates or identifies the breakdown of the Major Program based on budgeting, reporting, and/or Chart of Accounts inference requirements
- **Program Phase** - Associates a Phase to a specific Program
- **Program Period** - Establishes award periods under the Major Program
- **Funding Profile** - Creates or identifies a high-level code that captures the billing characteristics of expenditure. Identifies the funding relationships within a Major Program
- **Funding Priority** -Identifies the stages of billing for a Funding Profile
- **Funding Line** - Identifies the billing information related to a specific funding source within a Funding Profile and Funding Priority
- **Internal Buyer Funding Line** - Identifies one or more State funding sources for a specific Funding Line
- **Funding Profile Inference** - Defines inference rules for the Funding Profile (FPI2, FPI5, GFPI)
- **Budget** - Creates program and reimbursement budget documents based on the budget document code and Chart of Accounts elements entered in this component
- **Created Documents** - Displays the document information related to the budget documents that are created as a result of the CAS document being processed to Final Phase

Cost Accounting Setup Header Component

The Header component stores values that apply to all components of the CAS document. The General Information tab contains descriptive fields and date information common to most document headers.

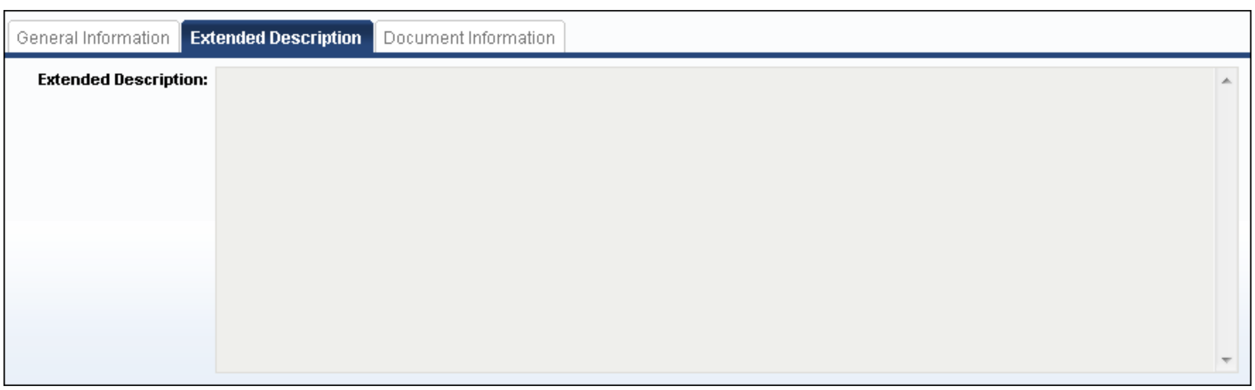
Cost Accounting Setup Header – General Information Tab

The Header allows the user to store information that applies to all components of the CAS document. All fields in this tab are optional; refer to department procedure.



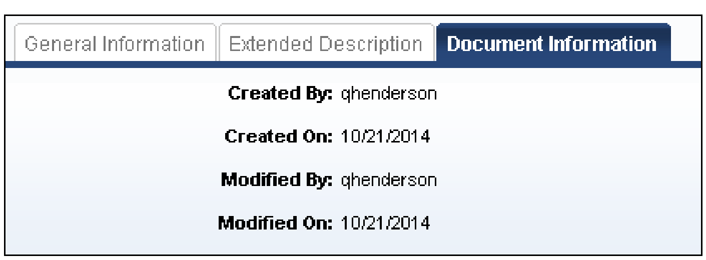
Cost Accounting Setup Header – Extended Description Tab

The Extended Description tab contains one large text field for entering a long description of the document or notes related to the processing of the document.



Cost Accounting Setup Header – Document Information Tab

The Document Information tab displays the user ID's and dates for document creation and modification.



Cost Accounting Setup Major Program Component

The CAS document allows you to specify only one Major Program per document. If you wish to establish multiple Major Programs, a separate CAS document must be submitted for each Major Program.

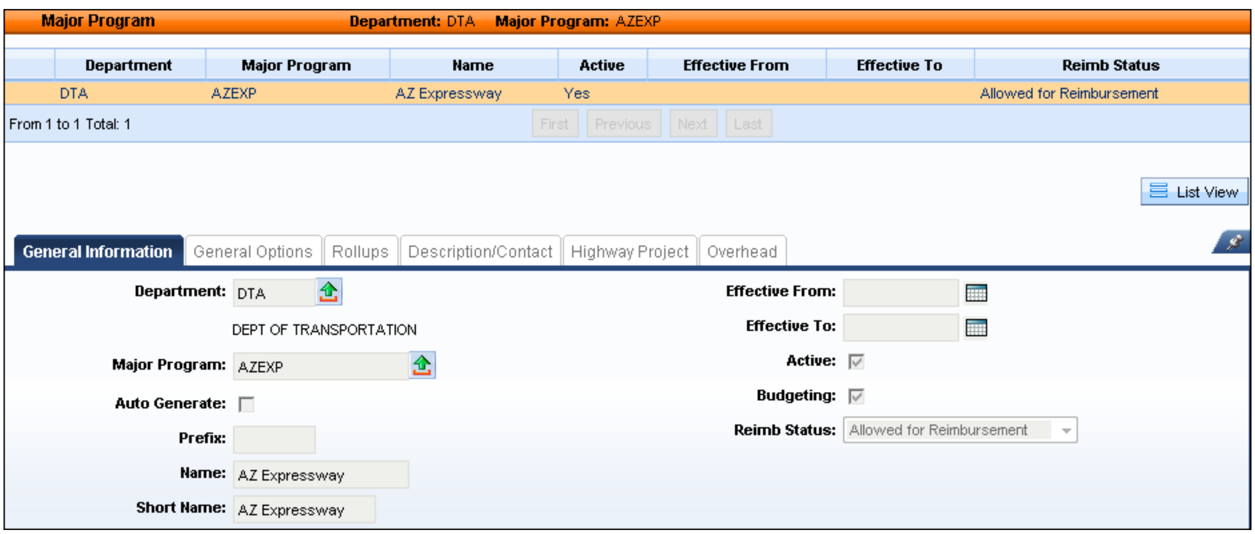
A Major Program line is required within the CAS document. However, unlike most fields supported by a pick list, on a CAS document you may either enter or auto generate a new Major Program code.

If a new Major Program is being created, the Major Program (MJPRG) page is updated with the new entry when the CAS document is submitted to Final Phase. Realize that the new code is not available in the Major Program pick list until the CAS document is submitted to Final Phase.

Once the Major Program code is either manually entered or selected from the pick list in the Major Program component, that Major Program code is auto populated in subsequent components of the CAS document.

Cost Accounting Setup Major Program – General Information Tab

The General Information Tab identifies the Department; Major Program code, Name and Short Name; and Reimbursement Status. The Effective From and To dates are commonly left blank on the Major Program. Refer to department procedure.

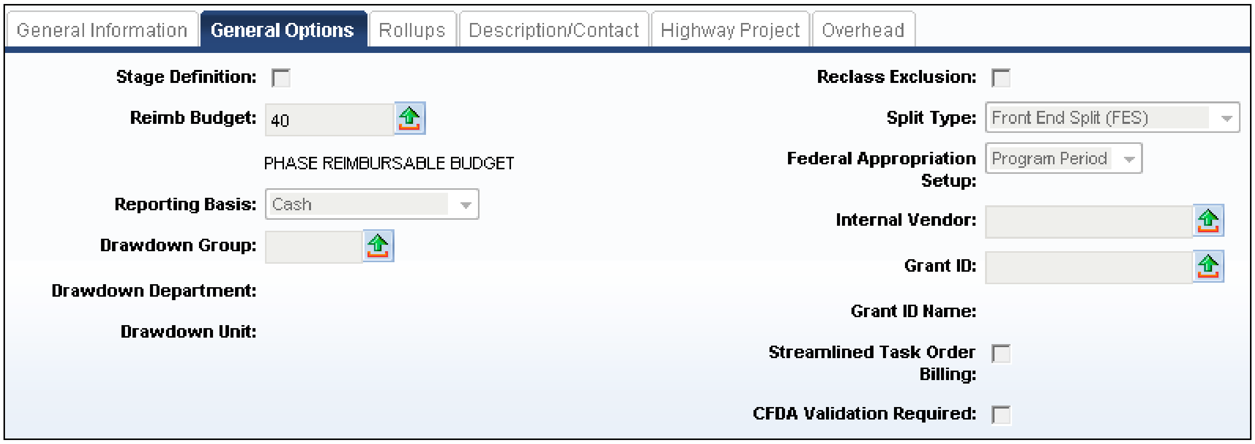


Cost Accounting Setup Major Program – General Options Tab

The General Options Tab identifies global characteristics about the Major Program: whether Stage Definitions will be used, the reimbursable budget structure to be used, how the Program Period will be inferred (i.e. reporting basis), whether AFIS will apply funding splits to Accounting lines, and where AFIS will find funding identification information.

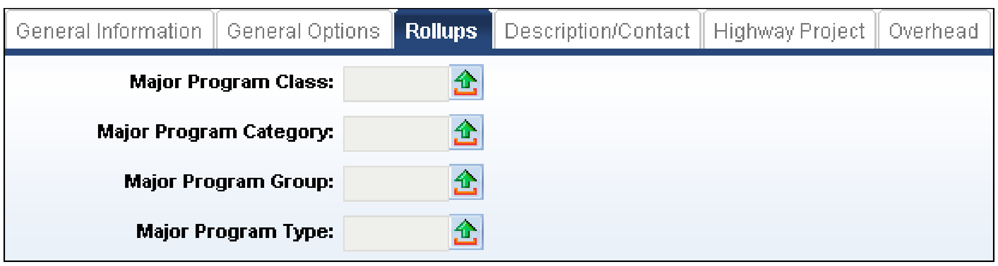
The Drawdown Group field is available to link multiple Major Programs, if a single drawdown request must be submitted to the Grantor.

The Grant ID field is available to link the Major Program to a grant award in the Grant Lifecycle Management module.



Cost Accounting Setup Major Program – Rollups Tab

Four rollups are available for the Major Program: Class, Category, Group, and Type. Refer to department procedure for completion of these optional fields.

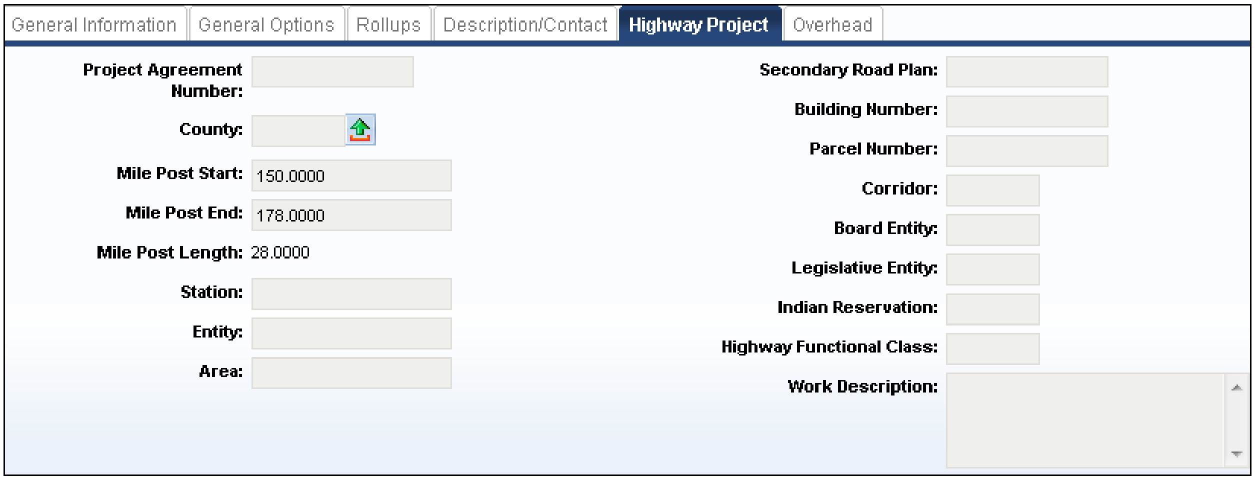


Cost Accounting Setup Major Program – Description/Contact Tab

The Description/Contact Tab provides the ability to identify a contact person for the Major Program and a free form description field. Description/Contact fields are also available on the Program, Program Phase, and Program Period components.

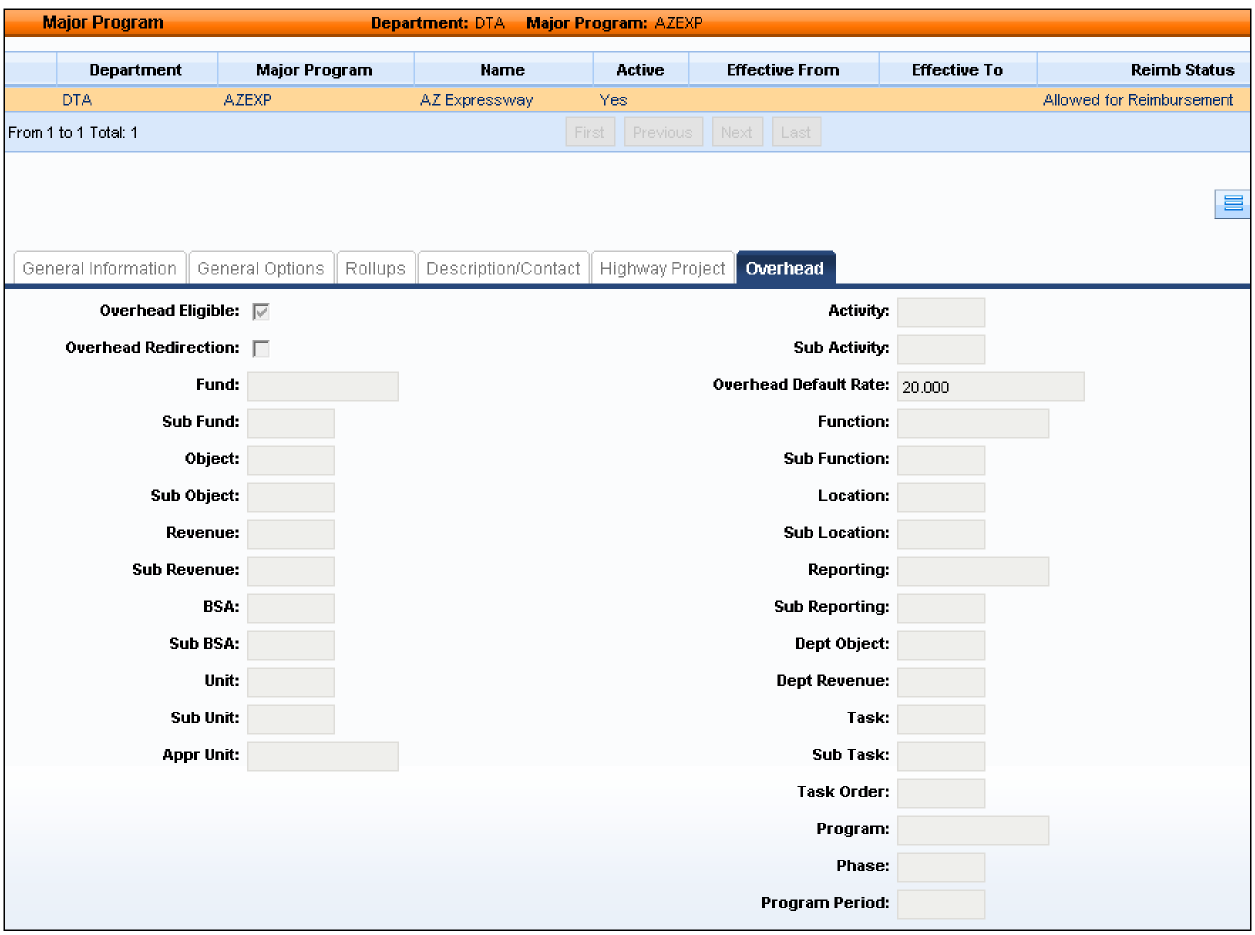
Cost Accounting Setup Major Program – Highway Project Tab

The Highway Project tab provides multiple fields to identify the location of a project. Highway project information can be recorded at the Major Program, Program, or Program Phase levels. The coding level used to track the Highway project information is determined by the department.



Cost Accounting Setup Major Program – Overhead Tab

This tab is used to record whether overhead transactions are allowed for this Major Program and, if so, what the default overhead rate is. Fields are also available to identify whether AFIS will be required to redirect, or overwrite, Chart of Accounts elements from a source transaction when the overhead charge transaction is created. If Overhead Redirection is required, the Chart of Accounts elements to be used are entered in the appropriate fields in this tab.



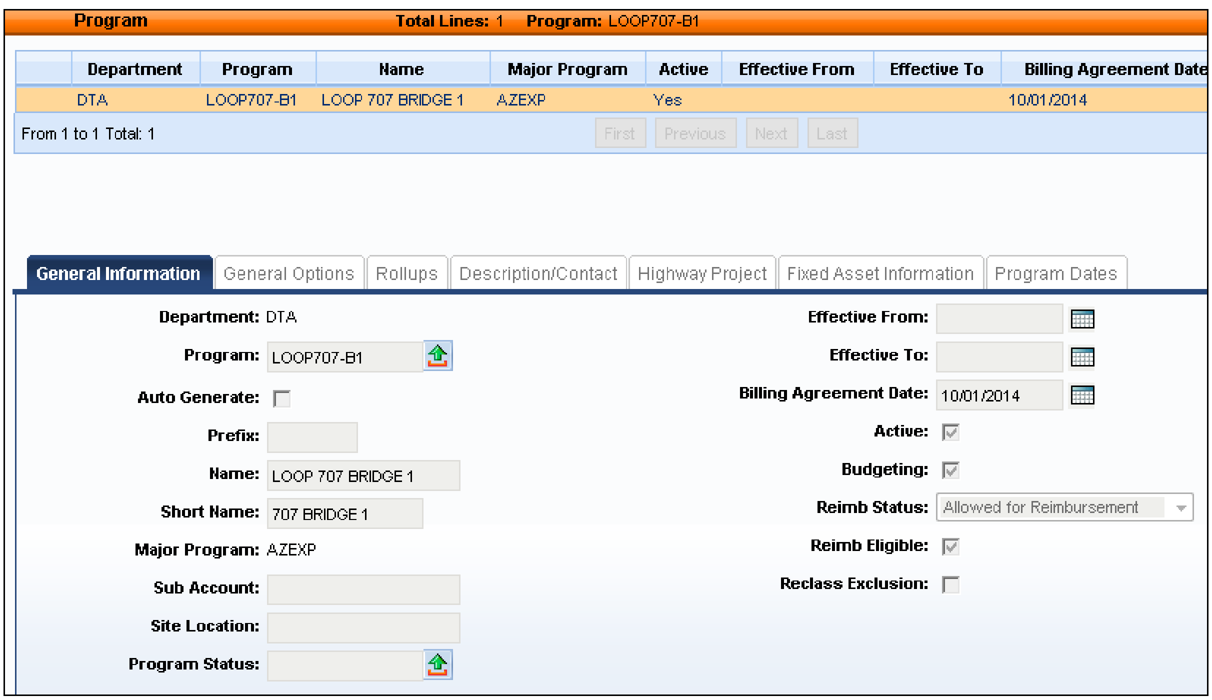
Program Component

Within the CAS document, each Program line is a component of the Major Program line so the Major Program code is auto populated on the Program component. Multiple Program lines are allowed. Like the Major Program component, you may either enter or auto generate a new Program code.

The Program Setup page is updated with a new Program code when the CAS document is submitted to Final Phase. The new Program code(s) does not appear in a pick list for the Program field until that occurs. When entering data for a new Program in the Funding Profile Inference and/or Budget components of the CAS document, the new Program code must be manually entered exactly as it appears in the Program component of the CAS document.

Cost Accounting Setup Program – General Information Tab

This tab identifies key information about the Program, to include the Program code (either manually entered or auto generated), Name, and Short Name. The Effective From and To dates are optional, but a Billing Agreement Date must be entered for Programs using the automated reimbursement or front end split process, to indicate when billing for reimbursement may begin. If the Reimb Eligible field check box is checked, this indicates the Program is using the automated reimbursement or front end split process.



Cost Accounting Setup Program – General Options Tab

The Drawdown Group field is available to link multiple Programs, if a single drawdown request must be submitted to the Grantor.

The Grant ID field is available to link the Program to a grant award in the Grant Lifecycle Management module.

Cost Accounting Setup Program – Rollups Tab

Four rollups are available for the Program: Class, Category, Group, and Type. Refer to department procedure for completion of these optional fields.

Cost Accounting Setup Program – Description/Contact Tab

The Description/Contact Tab provides the ability to identify a contact person and an additional contact person for the Program. Description/Contact fields are also available on the Major Program, Program Phase, and Program Period components.

Cost Accounting Setup Program – Highway Project Tab

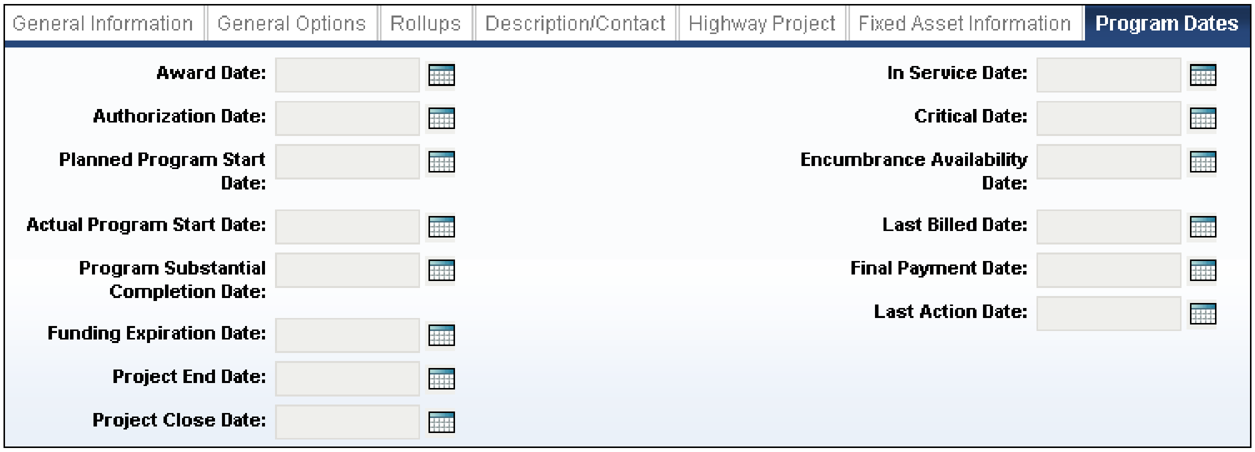
The Highway Project tab provides multiple fields to identify the location of a project. Highway project information can be recorded at the Major Program, Program, or Program Phase levels. The coding level used to track the Highway project information is determined by the department.

Cost Accounting Setup Program – Fixed Asset Information Tab

The optional Fixed Asset Construction Program Level field is used to enable the Program Asset Generation process. See Lesson 3 for additional information about this process.

Cost Accounting Setup Program – Program Dates Tab

Multiple fields are available to track milestone dates for a Program.



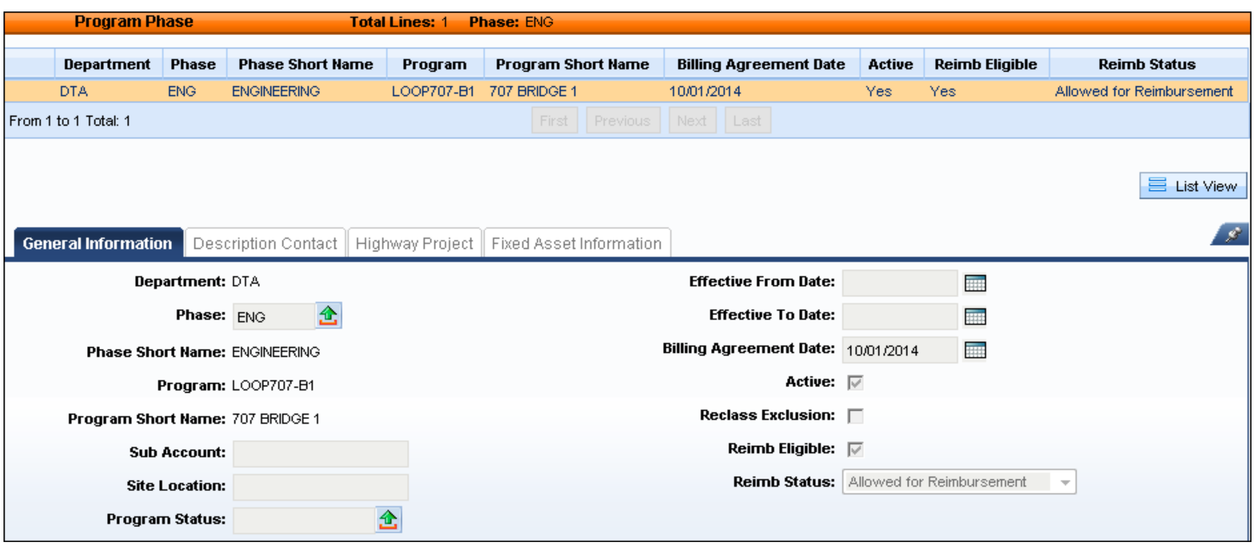
Program Phase Component

This component is optional and is completed only if Phases will be used to track, report, and control Program activities at the Phase level. Existing Phases may be associated with either new Programs or existing Programs.

Within the CAS document, each Phase line is a component of the Program line. The Program must be auto generated or entered first (if new), or selected from the pick list (if existing) in the Program component of the CAS document. Once the proper Program is highlighted in the Program grid, Phases can be associated to that Program by navigating to the Program Phase component.

Cost Accounting Setup Program Phase – General Information Tab

This tab is used to associate an existing Phase with the Program that was highlighted in the Program component prior to navigating to this component. The Program is auto populated from the Program component of the CAS document. The existing Phase must be selected from the Phase pick list. Then, additional information about the Program/Phase combination may be entered (effective dates, Billing Agreement Date, reimbursement information, etc.).



Cost Accounting Setup Program Phase – Description/Contact Tab

The Description/Contact Tab provides the ability to identify a contact person for the Program Phase and a free form description field. Description/Contact fields are also available on the Major Program, Program, and Program Period components.

Cost Accounting Setup Program Phase – Highway Project Tab

The Highway Project tab provides multiple fields to identify the location of a project. Highway project information can be recorded at the Major Program, Program, or Program Phase levels. The coding level used to track the Highway project information is determined by the department.

Cost Accounting Setup Program Phase – Fixed Asset Information Tab

The optional Fixed Asset Construction Program Level field is used to enable the Program Asset Generation process. See Topic 3.2 Program Setup for additional information about this process.

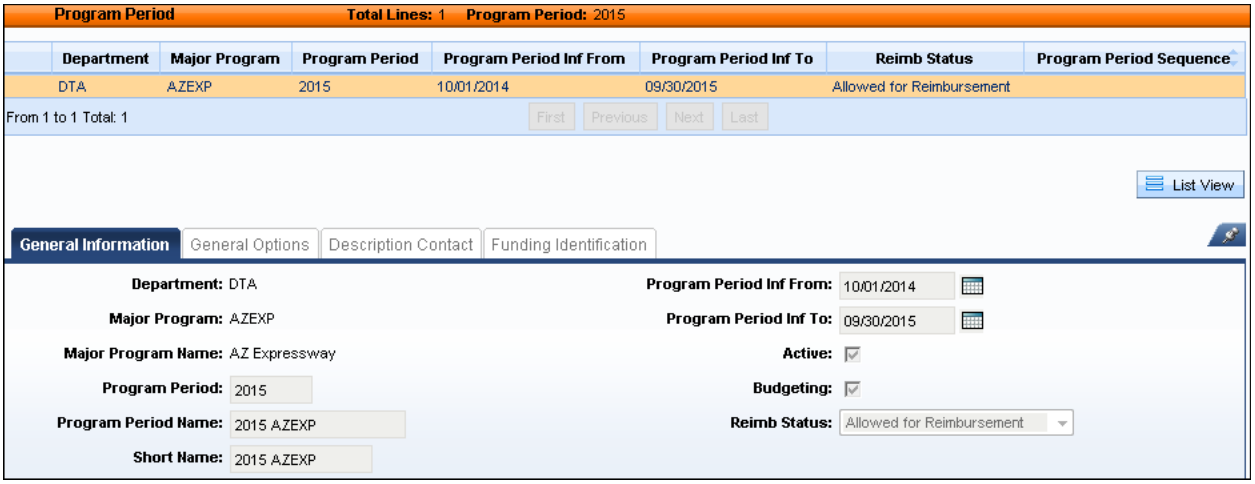
Program Period Component

Only new Program Period values specific to the Major Program may be entered on the Program Period component of a CAS document. If an existing Program Period is entered, the system issues an error. Each Program Period line is a component of the Major Program line; therefore, the Major Program code is auto populated on the Program Period component. Multiple Program Period lines are allowed, but Inference From and To dates cannot overlap and must be contiguous.

The Program Period (PPC) page is updated with a new Program Period code when the CAS document is submitted to Final Phase. The new Program Period code(s) does not appear in a pick list for the Program Period field until that occurs; therefore, when entering a new Program Period code in the Budget component of the CAS document, the new Program Period code must be manually entered exactly as you entered it in the Program Period component of the CAS document.

Cost Accounting Setup Program Period – General Information Tab

This tab is used to identify key information about the Program Period, to include the Program Period code, Name, and Short Name, and the Program Period Inference From and Inference To date fields. The Department and Major Program fields are auto populated from the Major Program component of the CAS document.



Cost Accounting Setup Program Period – General Options Tab

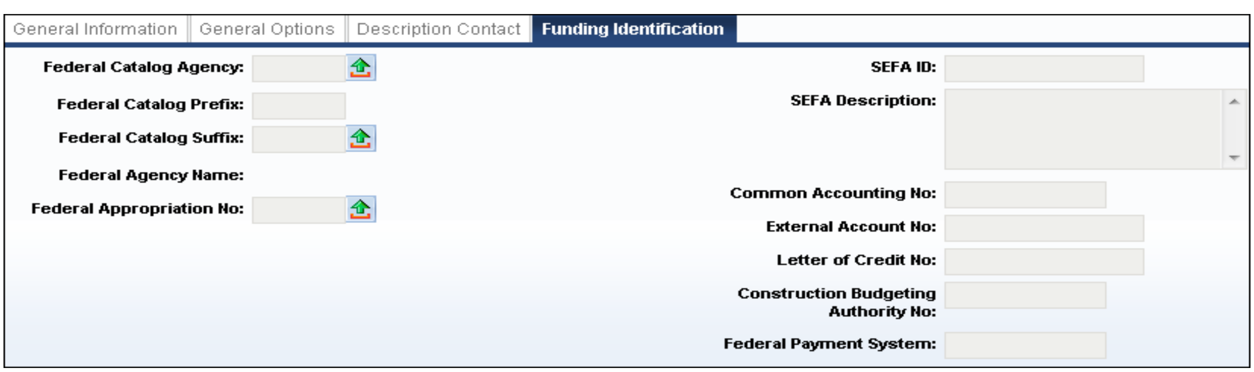
If Stages are enabled for the Major Program, you may select an existing Stage Profile from the pick list. Stage Definitions must be entered from the new PPC record after the CAS document is submitted to Final Phase. At this time, the State is not using Stage Profiles.

Cost Accounting Setup Program Period – Description/Contact Tab

The Description/Contact Tab provides the ability to identify a contact person for the Program Period and a free form description field. Description/Contact fields are also available on the Major Program, Program, and Program Phase components.

Cost Accounting Setup Program Period - Funding Identification Tab

The Funding Identification tab is one of two places that CFDA or SEFA information may be entered for the Major Program, as indicated on the Major Program component in the Federal Appropriation Setup field. Additional fields are available to identify the Federal Appropriation Number, Letter of Credit Number, and other tracking information.



Funding Profile Component

A Funding Profile is required for projects and grants that use the AFIS automated reimbursement or front end split process. The Funding Profile can be used for billing business rules within the Major Program. It captures the reimbursement structure for the project or grant, tracks all of the details related to the funding source(s) and funding agreement(s), and drives the reimbursement process.

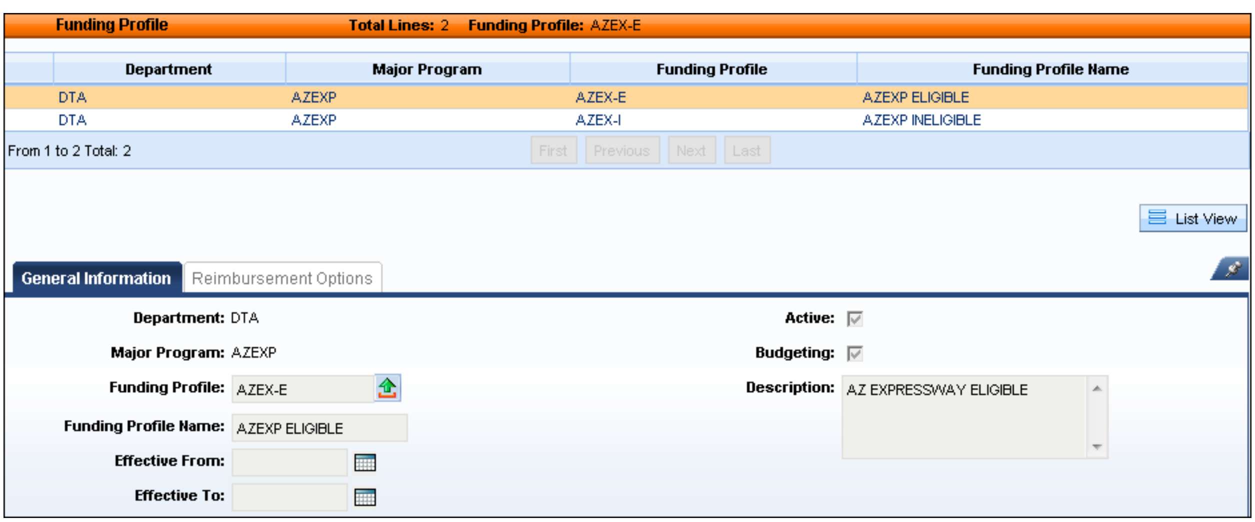
At least two types of Funding Profiles are established for each reimbursable Major Program: eligible and ineligible. An eligible funding profile identifies the funding details for participating or reimbursable expenditures; an ineligible funding profile identifies the funding details for non-participating or non-reimbursable expenditures. Normally only one ineligible Funding Profile is created for each Major Program; however, multiple eligible Funding Profiles can be created as needed to reflect the various funding agreements for the Major Program. The Reimb Eligible check box on the Funding Profile component, Reimbursement Options tab, designates the Funding Profile as either eligible or ineligible for reimbursement.

Within the CAS document, each Funding Profile line is a component of the Major Program line; therefore, the Major Program code is auto populated on the Funding Profile component. Multiple Funding Profile lines are allowed. As with the Major Program and Program components, you may either enter a new Funding Profile code or select an existing code from the Funding Profile pick list.

The Funding Profile (FPRFLST) page is updated with a new Funding Profile code when the CAS document is submitted to Final Phase. The new Funding Profile code(s) does not appear in a pick list for the Funding Profile field until that occurs. So, when entering a new Funding Profile code in the Funding Profile Inference and/or Budget components of the CAS document, the new Funding Profile code must be manually entered exactly as you entered it in the Funding Profile component of the CAS document.

Cost Accounting Setup Funding Profile – General Information Tab

This tab is used to identify the Funding Profile code, Name and effective dates. The Department and Major Program fields are auto populated from the Major Program component of the CAS document.



Cost Accounting Setup Funding Profile – Reimbursement Options Tab

This tab identifies if the Funding Profile is eligible for reimbursement, if posting lines associated with this Funding Profile can be reclassified for overflow purposes, and if related expenditures are eligible for interest charges under the Cash Management Improvement Act (CMIA).

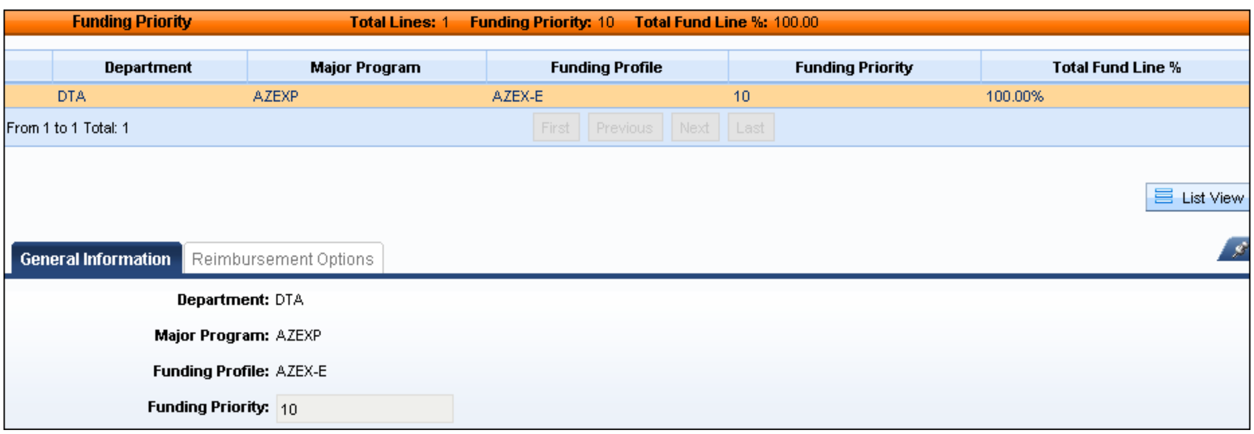
Funding Priority Component

Each Funding Priority line is a child record of the Funding Profile line, and multiple lines are allowed. The system allows only new Funding Priority values to be entered. If an existing Funding Priority is entered, the system issues an error.

> ***Note**: If a new Funding Line needs to be added to an existing Funding Priority, use the Cost Accounting Modification document.*

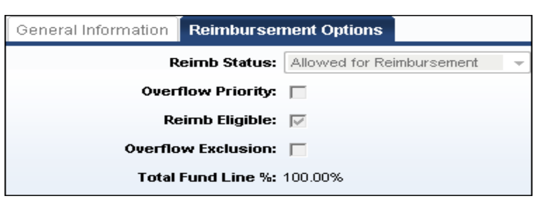
Cost Accounting Setup Funding Priority – General Information Tab

This tab is used to identify the Funding Priority code. The Department, Major Program, and Funding Profile fields are auto populated from the Funding Profile component of the CAS document.



Cost Accounting Setup Funding Priority – Reimbursement Options Tab

This tab identifies if the Funding Priority is established as the Overflow Priority, is eligible for reimbursement, and if posting lines associated with this Funding Profile can be reclassified for overflow purposes.



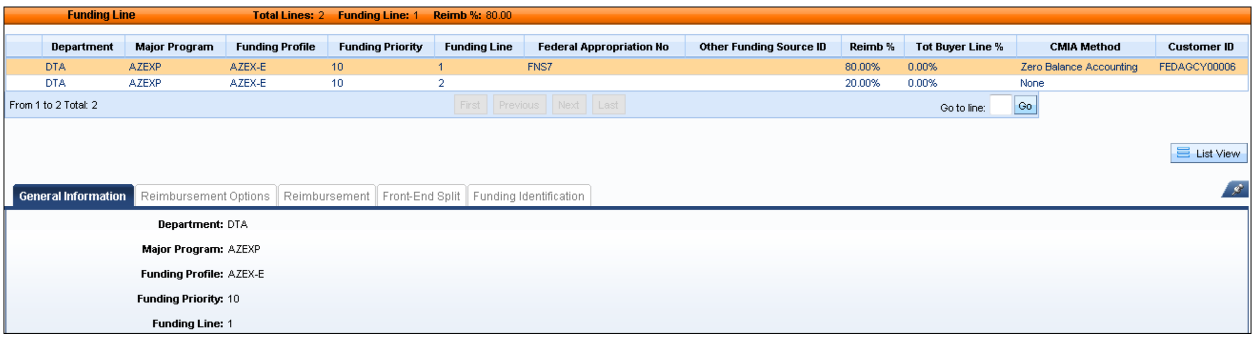
Funding Line Component

Each Funding Line is a child record of the Funding Priority line, and multiple lines are allowed. Only new Funding Lines may be entered. The correct Funding Priority must be selected in the Funding Priority component grid before navigating to the Funding Line, because the Funding Priority is auto populated from the Funding Priority component.

Within a Funding Priority, one or more Funding Lines must exist to identify the funding sources. Therefore, the system issues an error if the document is validated or submitted without a child Funding Line for each of the document's Funding Priority lines. The Reimb % of all Funding Lines must add up to 100% for a given Department/Major Program/Funding Profile/Funding Priority.

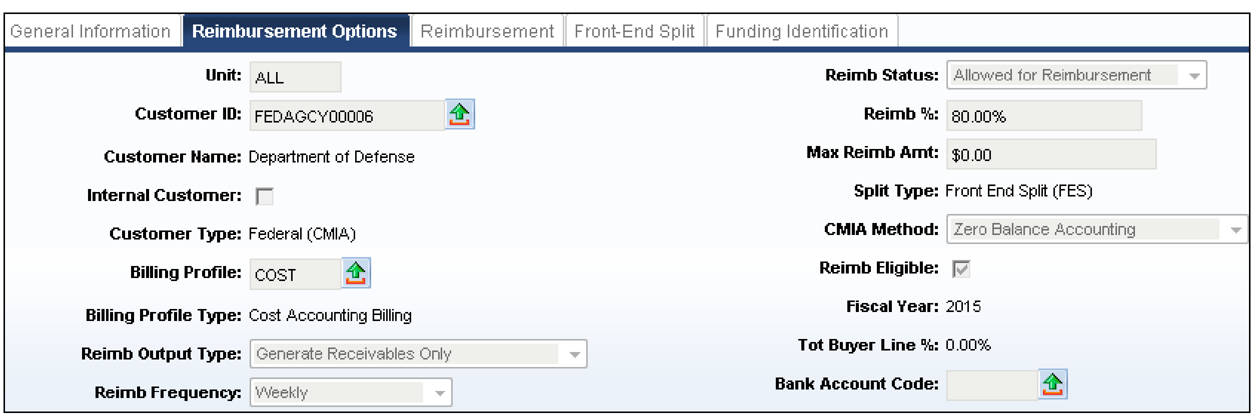
Cost Accounting Setup Funding Line – General Information Tab

All fields in the General Information tab are inferred from the Funding Priority or system generated.



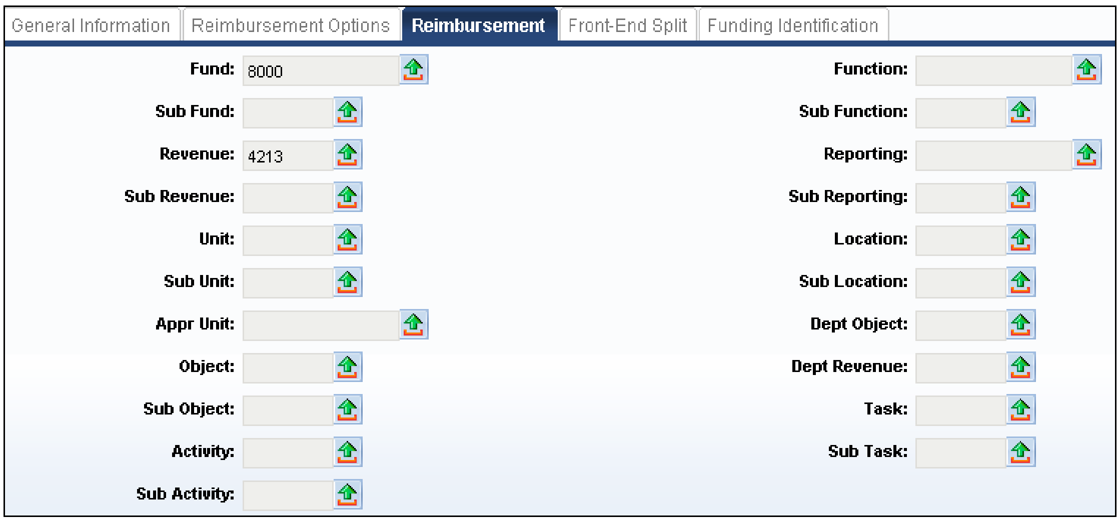
Cost Accounting Setup Funding Line – Reimbursement Options tab

Most of the funding agreement details are entered on the Reimbursement Options tab, to include the Vendor Customer (VCUST) code for the funding source, the Billing Profile, the output desired from the automated reimbursement process (RE only or RE/CR for external funding sources; internal sale or expenditure credit for internal funding sources), the drawdown frequency, and the percentage of expenditures funded by this funding source.



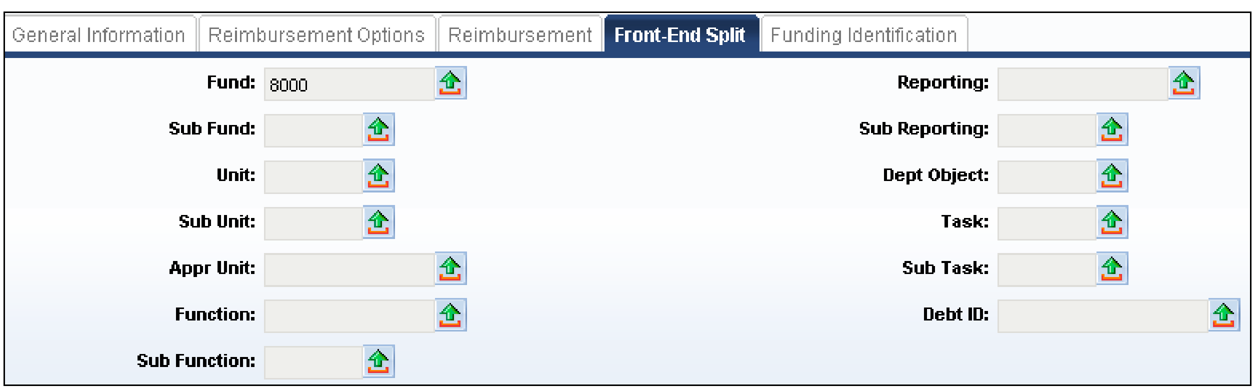
Cost Accounting Setup Funding Line – Reimbursement tab

The values entered in the Reimbursement tab are used to populate the Chart of Accounts fields on the Receivable (RE) documents generated by the automated reimbursement process. When a field is blank in this component, then the RE will inherit the value that was on the corresponding field on the Accounting Line of the source expenditure document. If a value is entered in one or more fields in the Reimbursement component, then those values will be populated in the corresponding fields on the RE document that is generated by the automated reimbursement process.



Cost Accounting Setup Funding Line – Front-End Split tab

The Front-End Split tab is utilized when the Chart of Accounts elements entered on the Accounting Line must be overwritten on the Posting Line during the Front End Split process.



Cost Accounting Setup Funding Line - Funding Identification tab

Normally, funding information is entered on the Program Period record for a Major Program. However, this information may be entered on the Funding Line when there are multiple CFDA or SEFA numbers for a Major Program within an individual Program Period. In this case, the selection from the drop down list in the Federal Appropriation Setup field on the Major Program component will be Funding Line, and fields in this tab are completed in the same manner as described for the Program Period component.

Internal Buyer Funding Line Component

Internal Buyers are departments within the State that provide the State's funding for a grant or project. Each department that functions as an internal buyer must be established as a customer on the Vendor Customer page.

The Internal Buyer Funding Line is used to enter one or more buyer lines that will fund the State Funding Line (and be charged the expenditure). Each Internal Buyer Funding Line is a child record of the State-funded Funding Line, and multiple lines are allowed. Only new Internal Buyer Funding Lines may be entered. The correct Funding Line (the State-funded Funding Line) must be selected in the Funding Line component grid before navigating to the Internal Buyer Funding Line, because the Funding Line is auto populated from the Funding Line component.

Cost Accounting Setup Internal Buyer Funding Line – General Information Tab

All fields in the General Information tab are inferred from the Funding Priority or system generated.

Cost Accounting Setup Internal Buyer Funding Line – Reimbursement Options Tab

The value entered in the Buyer % field identifies the portion of internal expense funded by this Internal Buyer. You may enter multiple lines on this component to split the expenditures among multiple departments to support inter-governmental service agreements. The Reimb **%** of all Internal Buyer Funding Lines must add up to 100% for a given Department/Major Program/Funding Profile/Funding Priority/Funding Line.

Cost Accounting Setup Internal Buyer Funding Line – Expense Tab

The values entered in the Expense tab are used to populate the Chart of Accounts fields on the Internal Exchange Transaction (IET) documents generated by the automated reimbursement process.

Funding Profile Inference Component

The funding profile inference pages establish the rules for inferring a funding profile, based on the Chart of Accounts elements entered on accounting and procurement documents. This simplifies data entry for project and grant accounting transactions. If a reimbursement-eligible Program code is entered on a document Accounting Line, an entry must be present on one of the funding profile inference pages. Otherwise, an error is generated.

The Funding Profile Inference component of the CAS document allows you to link a Program to a Funding Profile by updating the one of three funding profile inference pages:

- Funding Profile Inference 2 (FPI2)
- Funding Profile Inference 5 (FPI5)
- Grant Funding Profile Inference (GFPI)

The Funding Profile Inference lines are not children records of any other document component. Multiple lines are allowed. If another funding profile inference page (other than the three listed above) is necessary to infer a Funding Profile, the updates must be made directly on the appropriate page, after the CAS document is submitted to Final Phase.

> ***Note**: If additional entries on funding profile inference pages are needed, these entries will not be routed through workflow for approval; therefore, it is recommended that two individuals review the accuracy of the entries prior to saving to AFIS.*

The Department and Major Program fields are inferred from the Major Program component. The selection made in the Funding Profile Inference field will dictate which additional fields are available for data entry. For example, if FPI5 is selected, the Phase field will only be available for entry when FPI2 is selected; since FPI2 is the only one of the three selections that infers a Funding Profile based on Phase.

Budget Component

AFIS automatically creates a budget document in Final Phase based on the Budget Doc Code and other data indicated on the budget line. Multiple budget lines are allowed. The CAS is used to create program budget documents, reimbursement budget documents, or both; depending on the needs of the grant or project.

Within the generated budget document, the budget lines are created by copying the values from the budget line's fields to the corresponding fields in the appropriate level of the budget document. For the BGPDR this is Level 1 – Program Budget. AFIS will populate the Level Two budget line based on the Reimb % on each Funding Line. For the BGPHE and BGPDE, this is Level 3. If no errors are encountered, all lines in the budget document will be created and the document will be in Final Phase.

A budget line can be created for both new and existing Programs, within the Major Program identified on the CAS document. The existing Program does not have to be entered in the Program component of the CAS, in order to enter a budget line for that existing Program.

> ***Note**: For projects and grants using the automated reimbursement or front end split process, the CAS document may be used to create both the reimbursement and the program budget documents.*

Created Documents Component

The Created Documents section displays the document information related to the budget documents that are created as a result of the CAS document being processed to Final Phase. From this component, the user may click the budget document link and navigate directly to the document.

If any errors are generated upon creation of the budget document, it will remain in Draft Phase. In this case, to finalize the budget lines you must navigate to the budget document, address the errors, execute Smart Budget Rollup if needed, validate, and submit the document. Any changes that are required to address the errors will not be applied to the data in the CAS document, since it is in Final Phase. If corresponding changes are needed to any of the Major Program pages, the corrections must be made through completion of a CAM document.

Document Modifications

Once submitted to Final Phase, the CAS document code does not allow any further modifications or cancellations. If any modifications are subsequently needed, changes may be made on a Cost Accounting Modification (CAM) document. See Lesson 6 for additional information on the CAM document.

5.4. CAS Data Entry

Each CAS document component, except the Header component, requires information and/or verification. This topic describes the data entry requirements for CAS documents. To create a CAS document, use the Document Catalog.

Cost Accounting Setup Header

All fields in the Header component are optional. Refer to department procedure.

Cost Accounting Setup Major Program

A CAS document allows for only one Major Program. On a new CAS document, an initial blank line will be pre-inserted for the user to complete. No Insert Line button is present on the Major Program section.

There are required and optional fields in the Major Program component of the CAS document. The key fields in each tab are identified below.

Cost Accounting Setup Major Program - General Information

- **Department** - enter or select the department responsible for the Major Program
- **Major Program** - leave this field blank if establishing a new Major Program (the new Major Program code will be auto generated using the following two fields). When adding new elements to an existing Major Program, click the pick list button to choose the existing Major Program code
- **Auto Generate** - check the check box to activate the Auto Number Generation process for new Major Programs. If an existing Major Program code was selected, the check box remains unchecked
- **Prefix** - When using the Auto Generation process, enter a prefix if required by department procedure

Note: *the prefix must already exist on the AUTOCANO page for the Department being used.*

- **Name** - Enter a name for the new Major Program. If an existing Major Program code is selected from the pick list, the name will be auto populated from MJPRG
- **Short Name** - Enter a short name for the new Major Program. If an existing Major Program code is selected from the pick list, the short name will be auto populated from MJPRG

- **Effective From** and **Effective To** - These date fields are optional and typically remain blank for the Major Program. Effective dates for project and grant activity are controlled on the Program Period records
- **Reimb Status** - This field is associated with the reimbursement functionality in AFIS. The default entry Allowed for Reimbursement is selected unless transactions for the project or grant should temporarily be suspended from reimbursement. If this is the case, select Suspended for Reimbursement. If manual billing will be used for the Major Program, select Allowed for Reimbursement

Cost Accounting Setup Major Program - General Options

- **Stage Definition -** The State is not currently using Stage Profiles, so this check box remains unchecked for all Major Programs
- **Reimb Budget** - A reimbursement budget is required for projects and grants using the automated reimbursement or front end split processes. The most common selection is Structure ID 39. If budget control is required at the Program/Phase level, select Structure ID 40
- **Reporting Basis** - This setting tells AFIS to infer the Program Period based on the record date of the cash expenditure. For all Major Program records, the recommended setting is Accrual
- **Drawdown Group** - (optional) A drawdown group is entered for projects and grants using the automated reimbursement process, when a single funding agreement covers more than one Major Program (usually in multiple departments). It may be overridden at the Program level. Refer to Application Help for additional information on Drawdown Groups
- **Reclass Exclusion** - This field indicates if posting lines that have this Major Program value are to be reclassified when the offline Reclassification Process is run. See Application Help and the Cost Accounting Run Sheets for additional information
- **Split type** - The Split Type field instructs AFIS how and when to apply funding splits (for example, Federal-funding of 75%, and State funding of 25%)
    - For projects and grants using the automated reimbursement or front end split process, select Front End Split (FES). This tells AFIS to apply the funding split at the time the transaction is entered in the system
    - For projects and grants not using the automated reimbursement or front end split process, but if funding agreement information will be entered in AFIS for tracking purposes, select No Automated Splits – Manual
    - For projects and grants that will not use either the automated reimbursement process nor the Funding Profile tables, select No Automated Splits – No Bill
- **Federal Appropriation Setup** - The Federal Appropriation Setup field instructs AFIS where to look for CFDA and other funding information. The options are Program Period or Funding Line
- **Grant ID** - This field links the information on the grant award in the Grant Lifecycle Management component of AFIS to the cost structure. For grants established at the Major Program level, search for and select the Grant ID to which this Major Program will be associated
- **CFDA Validation Required** - This check box indicates whether a CFDA number must be validated against the CFDA Number (CFDA) page for Chart of Accounts elements established for this Major Program. When checked, the Federal Catalog Prefix field and Federal Catalog Suffix field values specified on the PPC page, Funding Line page, CAS document, or CAM document will be

validated against the CFDA Number table to ensure it is a valid value. This check box defaults to unchecked

Cost Accounting Setup Major Program - Rollups

All fields in the Rollups tab are optional. Refer to department procedure.

Cost Accounting Setup Major Program – Description/Contact

All fields in the Description/Contact tab are optional. Contact information may be entered at the Major Program level, the Program level, or both. Refer to department procedure.

Cost Accounting Setup Major Program – Highway Project

All fields in the Highway Project tab are optional. This information can be recorded at the Major Program, Program, or Program Phase levels. The coding level used to track the Highway project information is determined by the department.

Cost Accounting Setup Major Program – Overhead

Eligibility for overhead charges is established at the Major Program level. All fields in the Overhead tab are optional. Key fields in this component are:

- **Overhead Eligible** - If the Major Program is eligible for reimbursement of overhead, check the Overhead Eligible check box
- **Overhead Default Rate** - Enter the default overhead rate for the Major Program. This field is required if the Overhead Eligible check box is checked
- **Overhead Redirection** - Check this check box if one or all chart of account elements from the source transaction should be overwritten when AFIS creates the overhead charge transaction
    - Chart of Accounts fields left empty in this tab do not change the value on the source transaction when the Overhead charge transaction is created
    - Chart of Accounts fields that have a code entered in this tab will overwrite the source transaction Chart of Accounts element when the Overhead charge transaction is created
    - Chart of Accounts fields with BLNK entered will delete the source transaction Chart of Accounts elements. The field will be blank on when the Overhead charge transaction is created

Cost Accounting Setup Program

In the Program component, the user selects the Insert New Line button to create a new blank line. A new Program may be established, or an existing Program may be selected from the pick list if new Program elements must be created on the CAS document.

There are required and optional fields in the Program component of the CAS document. The key required fields in each tab are identified below.

Cost Accounting Setup Program – General Information

- **Program** - The unique ID code that identifies the Program. This identifies the project or the grant. The Program code may be assigned manually or auto generated by AFIS. The State will auto generate Program codes, so the Auto Generate check box should be checked. A PROG code will be assigned when the record is saved
- **Prefix** - Refer to department procedure. Valid entries in the Prefix field are:
  - Enter a valid prefix for the department, if established on the Cost Accounting Auto Numbering (AUTOCANO) page
  - Leave the field blank. If a default prefix is established on AUTOCANO for the department, it will be inferred. If a default prefix has not been established for the department, the Program code will be auto generated without a prefix
- **Program Status** - An optional field that is used to identify the status of a project or grant. Statuses available from the pick list are established on the Program Status (PSTAT) page
- **Effective From** and **Effective To** - These date fields are optional and typically remain blank. Effective dates for project and grant activity are normally controlled on the Program Period records
- **Billing Agreement Date** - Required if the Program is eligible for reimbursement. The Billing Agreement date determines when billing may start for a Program. For example, for grants, the Billing Agreement date is populated with the grant award date. A drawdown request for this Program will not be generated by the automated reimbursement process until on or after the Billing Agreement date. This field is also available on the Program Phase (PHPRG) page and can be entered there, if the authorization date for a Phase is different than the date entered on the Program. If either or both Effective Dates are entered, the Billing Agreement Date must be equal to either the Effective Date or within the range of Effective Dates
- **Reimb Status** - Select Allowed for Reimbursement for all projects and grants. If processing of the automated drawdown request should be suspended for any reason, select Suspended for Reimbursement
- **Reimb Eligible** - Tells AFIS whether the Program is eligible for reimbursement
  - This check box should be checked for grants and for projects eligible for reimbursement and utilizing the automated reimbursement or front end split process
  - This check box should be unchecked for Programs ineligible for reimbursement
- **Reclass Exclusion** - This field indicates if posting lines that have this Program value are to be reclassified when the offline Reclassification Process is run. See Application Help and the Cost Accounting Run Sheets for additional information

Cost Accounting Setup Program – General Options

- **Drawdown Group** - (optional) entered for projects and grants using the automated reimbursement process, when a single funding agreement covers more than one Program. Refer to Application Help for additional information on Drawdown Groups
- **Grant ID** - if the Grant ID is populated at the Major Program level, leave this field blank. If the Program level is the appropriate level to link to the grant, search for and select the Grant ID to which this Program will be associated

Cost Accounting Setup Program - Rollups

Fields in the Rollups component may be populated, if needed, for State or department reporting purposes.

Cost Accounting Setup Program - Description/Contact

Fields in the Description/Contact component are used to identify the manager and/or the first point of contact for the project or grant and are populated according to department procedure. Fields available in this component are:

- **Contact** - names available from the pick list in this field are established on the Contact (CNTAC) page. The name selected in this field may be the manager or the first point of contact
- **Contact Type** - used to enter the position or type of contact for the individual identified in the Contact field
- **Additional Contact** - used to enter an additional contact name. This field is not associated with the Contact page
- **Additional Contact Type** - used to enter the position or type of contact for the individual identified in the Additional Contact field
- **Description** - used to enter additional information

Cost Accounting Setup Program - Highway Project

The fields in the Highway Project component are available on the Major Program, Program, and Program Phase pages. If the Federal Agreement information varies between one or more program phases, it is typically entered on the Program Phase page. These fields are used to identify where a project is happening and what type of project it is. Refer to department procedure for the specific use of each field.

Generic fields in this component can be used to identify the location of the project:

- County
- Area
- Station
- Building Number
- Parcel Number
- Project Site - can be used to enter any information about the site of a project that is not captured in another field

Some fields are specific to roadway projects:

- Mile Post Start
- Mile Post End
- Mile Post Length (auto populated by AFIS)
- Corridor
- Highway Functional Class
- Direction

- Type of Transportation Project
- FHWA Improvement Type

Key fields for Federally-funded projects include:

- Federal Route
- Federal Section
- Federal District
- Federal Sequence Number

Cost Accounting Setup Program - Fixed Asset Information

The optional Fixed Asset Construction Program Level field is used to enable the Program Asset Generation process. This process automates the creation, management, and recognition of capital balances with regard to construction projects. This process will generate fixed asset documents that increase the dollar value, change the Fixed Asset Type, and cancel Fixed Asset Components.

The Fixed Asset Construction Program Level field identifies the level at which assets will be created: Program or Program Phase. Guidance for completion of this field is as follows:

- Select Program if costs for all Phases of a project are eligible for capitalization to a single asset
- Select Program Phase if costs for only some Phases of a project are eligible for capitalization or each phase need to be capitalized separately
- Leave the field blank if the Program Asset Generation process will not be used for the Program (costs from the Program should not be associated with a Fixed Asset record)

Cost Accounting Setup Program - Program Dates

The fields in the Program Dates tab are typically used to record and report on project milestone dates. Refer to department procedure.

Cost Accounting Setup Program Phase

To utilize a Phase for a specific Program, the Phase must be associated to the Program on the Program Phase component. The Program Phase component of the CAS document is a child record of the Program component; therefore, select the proper Program line before navigating to the Program Phase component.

In the Program Phase component, the user selects the Insert New Line button to create a new blank line. More than one Program Phase can be associated to a Program in the CAS. Repeat as many times as needed to add additional lines.

Cost Accounting Setup Program Phase - General Information

Key fields in the General Information tab are listed below.

- **Department** - Inferred from the Program that was first selected on the Program component of the CAS document

- **Phase** - Select an existing Phase from the pick list. The Phase Short Name will be inferred
- **Program** and **Program Short Name** - Inferred from the Program that was first selected on the Program component of the CAS document
- **Effective From** and **Effective To** - Control when AFIS allows transactions to be created for the Program Phase. These optional dates will be inferred from the Program if entered on the Program component, but may be overwritten if appropriate for the Phase. Refer to department procedure
- **Billing Agreement Date** - Required for Program Phases utilizing the automated reimbursement or front end split process. The date is inferred from the Program; however, a later date may be entered on PHPRG, if appropriate for the Phase. The Billing Agreement date determines when billing may start for a Program. A drawdown request for the Program Phase combination will not be generated by the automated reimbursement process until on or after the Billing Agreement date
- **Reimbursement Eligible** - tells AFIS whether the PHPRG is using the automated reimbursement or front end split process. The setting for this check box is inferred from the Program component but may be changed
    - This check box should be checked for projects utilizing the AFIS automated reimbursement or front end split process
    - This check box should be unchecked for projects not utilizing the AFIS automated reimbursement or front end split process
- **Reimbursement Status** - select Allowed for Reimbursement for all projects. If processing of the automated drawdown request should be suspended for any reason, select Suspended for Reimbursement

Cost Accounting Setup Program Phase - Highway Project

The fields in the Highway Project component are available on the Major Program, Program, and Program Phase components, and are entered according to department procedure. If the Federal Agreement information varies between one or more program phases, it is typically entered on the Program Phase page.

Generic fields in this component can be used to identify the location of the project:

- County
- Area
- Station
- Building Number
- Parcel Number
- Project Site - can be used to enter any information about the site of a project that is not captured in another field

Some fields are specific to roadway projects:

- Mile Post Start
- Mile Post End

- Mile Post Length (auto populated by AFIS)
- Corridor
- Highway Functional Class
- Direction
- Type of Transportation Project
- FHWA Improvement Type

Key fields for Federally-funded projects include:

- Federal Route
- Federal Section
- Federal District
- Federal Sequence Number

Cost Accounting Setup Program Phase - Fixed Asset Information

The Fixed Asset Construction Program Level field is optional and used to enable the Program Asset Generation process. As mentioned in the Program Setup topic, this process automates the creation, management, and recognition of capital balances, with regard to projects. The process will generate fixed asset documents that increase the dollar value, change the Fixed Asset Type, and cancel Fixed Asset Components. The Fixed Asset Construction Program Level field may be enabled at either the Program or Program Phase levels.

- If Program is selected in the Fixed Asset Construction Program Level on the Program Setup page, or if this field is blank, then the Fixed Asset Construction Program Level check box on the Program Phase page must be unchecked
- If Program/Phase is selected in the Fixed Asset Construction Program Level on the Program Setup page, then the Fixed Asset Construction Program Level check box on the Program Phase page may be checked. This field should be checked if the costs from that Phase should be capitalized; unchecked if the costs from the Phase should not be capitalized
- Leave the check box blank, if the Program Asset Generation process will not be used for the Program (costs from the Program should not be associated with a Fixed Asset record)

Cost Accounting Setup Program Period

In the Program Period component, the user selects the Insert New Line button to create a new blank line. The component contains four tabs: General Information, General Options, Contact/Description, and Funding Identification. More than one Program Period can be associated to a Major Program in the CAS document. Program Periods must be sequential without overlaps.

Cost Accounting Setup Program Period - General Information

The General Information tab associates the Program Period with the Major Program that identifies the grant or project.

- **Department**, **Major Program, Major Program Name** – These fields are inferred from the Major Program component when the document is saved

- **Program Period** - Enter a Program Period code
- **Program Period Name** and **Short Name** - Enter a Program Period Name and Short Name
- **Program Period Inf From** and **Program Period Inf To** - These date fields are used to define the beginning and ending dates of the award period or fiscal year. This date range is typically a one year period, but may be a two year period for grants that are awarded every two years. It is important to note that if there are multiple entitlement years open, the inference dates cannot overlap
- **Reimb Status** - Select Allowed for Reimbursement for all projects and grants. If processing of the automated drawdown request should be suspended for any reason, select Suspended for Reimbursement

Cost Accounting Setup Program Period - General Options

When Stage Profiles are used, the Stage Profile field in the General Options component is used to identify which Stage Profile is used with this Program Period. Stage Profiles cannot be created using the CAS document.

> ***Note**: The Stage Definition field on the Program Period General Options tab indicates No even though you have checked the Stage Definition check box on the Major Program section of the CAS. When the CAS document is submitted to Final Phase and the entries are made on the Major Program and Program Period pages, the Stage Definition field will indicate Yes. Stage Definitions cannot be established using the CAS document; they must be manually entered from the PPC after the CAS document is submitted to Final Phase.*

Cost Accounting Setup Program Period - Description/Contact

The Contact field may be used to identify who to contact for additional information about the Program Period record. Refer to department procedure.

Cost Accounting Setup Program Period - Funding Identification

This tab is used to capture funding information about the project or grant. As mentioned earlier in this lesson, the Federal Appropriation Setup field on the Major Program record instructs AFIS to look for funding information either at the Program Period or Funding Line levels. Normally, this information will be entered here on the Program Period component.

The CFDA number is identified using the Federal Catalog Agency and Federal Catalog Suffix fields in the following manner:

- **Federal Catalog Agency** - Select a value from the pick list. Valid entries for this field are established on the Federal Agency (FEDAGCY) page
- **Federal Catalog Prefix** - Is populated by the selection from the Federal Catalog Agency pick list, based on entries in the Federal Agency (FEDAGCY) page. This represents the first two digits of the CFDA number
- **Federal Catalog Suffix** - Select a value from the pick list. This represents the last two or three digits of the CFDA number

> ***Note**: If the CFDA Validation Required check box is checked for the Major Program associated with the Program Period, then the Federal Catalog Prefix field and Federal Catalog Suffix field values entered in this component are validated against the CFDA Number table to ensure it is a valid value.*

- **Federal Appropriation No** - Select a value from the pick list. New Federal Appropriation Numbers must first be established on the Federal Appropriation Number (FAN) page before they can be entered on the PPC component
- **SEFA ID** and **SEFA Description** - If a Federal program does not have an assigned CFDA Number, enter values in the SEFA ID and SEFA Description fields to assign an ID

Cost Accounting Setup Funding Profile

The Funding Profile is a hierarchy that consists of the Funding Profile, Funding Priority(s), Funding Line(s), and Internal Buyer Funding Line(s).

Cost Accounting Setup Funding Profile – General Information

In the Funding Profile component, the user selects the Insert New Line button to create a new blank line. More than one Funding Profile can be associated to the Major Program on the CAS document. Repeat as many times as needed to add additional lines.

- **Department** and **Major Program** - These fields are inferred from the Major Program component of the CAS document when the document is saved
- **Funding Profile** and **Funding Profile Name** - Use the pick list to select a previously-created Funding Profile code or enter a new Funding Profile Code and Name
- **Effective From** and **Effective To** - These fields are optional, refer to department procedure. If an Effective From date is entered, it must be greater than or equal to Effective From entered on the Major Program component

Cost Accounting Setup Funding Profile – Reimbursement Options

- **Reimb Eligible** - Check this check box for eligible Funding Profiles. Uncheck this check box for ineligible Funding Profiles
- **Reimb Status** - Infers from the Major Program component. Select Allowed for Reimbursement for all projects and grants. If processing of the automated drawdown request should be suspended for any reason, select Suspended for Reimbursement
- **Overflow Exclusion** - This check box determines if all posting lines that infer this funding profile are eligible for Automatic Overflow as part of the Reclassification Process. If this flag is selected, then posting lines that infer this funding profile cannot be reclassified for overflow purposes. See the Appendix, Reclassification Process, for additional information
- **CMIA Interest** - This check box indicates whether or not expenditures/charges that are allocated to this funding profile are eligible for interest charges under the Cash Management Improvement Act

Cost Accounting Setup Funding Priority

In the Funding Priority section, the user selects the Insert New Line button to create a new blank line.

Cost Accounting Setup Funding Priority – General Information

- **Department, Major Program,** and **Funding Profile** - These fields are inferred from the Funding Profile component
- **Funding Priority** - Enter a number to identify the Funding Priority. More than one Funding Priority can be associated to the Funding Profile on the CAS document. Repeat as many times as needed to add additional lines

> ***Note**: It is considered best practice to number Funding Priorities by 10s (for example, 10, 20, 30, 40), in order to allow later insertion of a new Funding Priority in the proper sequence.*

Cost Accounting Setup Funding Priority – Reimbursement Options

- **Reimb Status** - Select Allowed for Reimbursement for all projects and grants. If processing of the automated drawdown request should be suspended for any reason, select Suspended for Reimbursement
- **Overflow Priority** - Check this check box if the Funding Priority is the Overflow Funding Priority. An Overflow Funding Priority must be established if expenditures exceeding the project or grant budget are to be allowed. It is considered best practice to number the Overflow Funding Priority 98 or 99 to ensure that it is always the last priority available
- **Reimb Eligible** - Check this check box for eligible Funding Priorities. Uncheck this check box for ineligible Funding Priorities
- **Overflow Exclusion** - This check box determines if all posting lines that infer this funding profile are eligible for Automatic Overflow as part of the Reclassification Process. If this flag is selected, then posting lines that infer this funding profile cannot be reclassified for overflow purposes. See the Appendix, Reclassification Process, for additional information
- **Total Fund Line %** - This field is system-generated and displays the total reimbursement percentage for all funding lines in this Funding Priority. The total reimbursement percentage for a Funding Priority should equal 100%. This field is updated whenever a new funding line is added or there is a change in the reimbursement percentage for any funding line

Cost Accounting Setup Funding Line

Each Funding Priority has at least one Funding Line. The Funding Line indicates the funding sources and specifies the funding source percentage. The Funding Line contains the detailed information presented in the funding agreement.

For projects or grants with multiple and concurrent funding sources, the automated splitting of expenditures (Funding Split), is determined by the percentages entered on the Funding Lines.

The Funding Line is a hierarchical child of the Funding Priority; therefore, the appropriate Funding Priority must be selected prior to navigating to the Funding Line component. The Funding Line consists of the General Information, Reimbursement Options, Reimbursement, Front-End Split, and Funding Identification components.

In the Funding Line section, the user selects the Insert New Line button to create a new blank line.

Cost Accounting Setup Funding Line - General Information

All fields in the General Information component are inferred from the Funding Priority, except for Funding Line Number, which is sequentially assigned by AFIS when the document is saved.

Cost Accounting Setup Funding Line - Reimbursement Options

The Reimbursement Options component identifies the funding source and the important details related to the funding agreement. Key fields include:

- **Unit** - For eligible funding lines, enter All. For ineligible funding lines, leave this field blank
- **Customer ID** - Select the code for the funding source from the Vendor Customer (VCUST) page
    - For the external funding line, select the Federal agency or third party entity providing the project or grant funding
    - For the State match funding line, select the VCUST code for the department that will be populated as the 2nd party on the Internal Exchange Transaction (IET) document
    - For ineligible funding lines, leave this field blank
- **Billing Profile** - Identifies billing instructions for the funding source. For eligible funding lines, normally this will be COST. For ineligible funding lines, leave this field blank
- **Reimb Output Type** - Identifies the documents generated by the automated reimbursement process. Refer to State or department procedure for the proper entries for each Funding Line. The options are:
    - Generate Receivables Only - Select if AFIS should generate the Receivable (RE) document only. Used for external entities
    - Generate Receivables and Cash Receipts - Select if AFIS should generate both the Receivable (RE) and the Cash Receipt (CR) documents. Used for external entities
    - Internal Sale - This option will not be used by the State
    - Internal Reimbursement - Select if the IET document will be generated as an expenditure credit
    - None - Select if documents will not be generated by AFIS and for ineligible funding lines
- **Reimbursement Frequency** - determines the frequency of reimbursement for expenditures charged to this funding line. Options are as follows. Refer to department procedure for the proper selection. For ineligible funding lines, select None
    - N/A - See Billing Profile
    - None
    - Daily
    - Weekly
    - Semi-monthly
    - Monthly
    - Biweekly
    - Quarterly

  - Semi-annual
  - Annual
  - One-time
  - Date Range

- **Reimb Status** - Select Allowed for Reimbursement for all projects and grants. If processing of the automated drawdown request should be suspended for any reason, select Suspended for Reimbursement
- **Reimb %** - Enter the % of funding from this funding source. The percentage should be entered as a whole number (for example, enter 50 not .50 if the funding source is reimbursing 50%)

> ***Note**: The sum of all Funding Lines for each Funding Priority must equal 100% before the CAS document may be submitted to Final Phase.*

- **Max Reimb Amt** - This field is optional and is used to enter the maximum amount that can be reimbursed for any funding line on any given run of the automated reimbursement process

> ***Note**: This is not the total agreed-upon reimbursement. That amount is recorded on the Reimbursement Budget line.*

- **CMIA Method** - An entry is required if the Customer Type indicates a CMIA agreement. The Customer Type is established on the Vendor Customer page in the Accounts Receivable component

> ***Note**: In order to create entries on the Funding Line for eligible Funding Profiles, the appropriate records must first be established on the Vendor/Customer (VCUST) page, the Billing Profile (BPRO) page, and the Customer Account Options (CACT) page. See the Accounts Receivable course for additional information on establishing entries on these pages.*

Cost Accounting Setup Funding Line - Reimbursement

Generally, the Revenue field is populated for all Funding Lines. Additionally, departments will need to enter a non-inferring Function code. This will stop the original Function code from overwriting the posting information during the reimbursement process. If a new function is not entered, the posting lines will infer the same chart of accounts that were inferred from the accounting line's function in the auto-generated reimbursement documents. Other fields are populated according to department procedure.

Cost Accounting Setup Funding Line – Front End Split

The Front-End Split component is utilized when the Chart of Accounts elements entered on the Accounting Line must be overwritten on the Posting Line during the Front End Split process. The fields most commonly populated are Fund and Appropriation Unit, but all fields are optional. Refer to department procedure.

Cost Accounting Setup Funding Line - Funding Identification Component

Select the Grant ID from the pick list if a grant award is associated at the Funding Line level.

Normally, funding identification information is entered on the Program Period record for a Major Program. However, this information may be entered on the Funding Line when there are multiple CFDA or SEFA numbers for a Major Program within an individual Program Period. In this case, the selection from the drop down list in the Federal Appropriation Setup field on the Major Program record will be Funding Line. Fields in the Funding Identification component on the Funding Line are completed in the same manner as described for the Program Period.

Cost Accounting Setup Internal Buyer Funding Line

Internal Buyer Funding Lines are child records of the Funding Line, so it is important to select, or highlight, the State Funding Line in the grid on the Funding Line component before navigating to the Internal Buyer Funding Line.

In the Internal Buyer Funding Line component, the user selects the Insert New Line button to create a new blank line.

Cost Accounting Setup Internal Buyer Funding Line – General Information

All fields in the General Information tab are system-generated or inferred from the Funding Line.

Cost Accounting Setup Internal Buyer Funding Line - Reimbursement Options

- **Customer ID** and **Reimb Output Type** - These fields are inferred from the Funding Line
- **Use Tax** - This field is optional. Refer to department procedure
- **Buyer %** - Enter 100% if there is one internal funding source. If more than one Buyer Line is needed, the sum of all Internal Buyer Funding Lines for the internal Funding Line must equal 100%

Cost Accounting Setup Internal Buyer Funding Line - Expense

The values entered in the Expense tab are used to populate the Chart of Accounts fields on the Internal Exchange Transaction (IET) documents generated by the automated reimbursement process.

- **Fund** - This is a required field. Use the pick list to select a Fund code
- **Object** - This is a required field. Use the pick list to select an Object code
- **Unit** - Use the pick list to select a Unit code
- **Department** - This is a required field. Use the pick list to select a Department code

All other fields in this tab are optional**.** Refer to department procedure.

Cost Accounting Setup Funding Profile Inference

The Funding Profile Inference component of the CAS document allows you to link a Program to a Funding Profile by updating the one of three funding profile inference pages:

- Funding Profile Inference 2 (FPI2)
- Funding Profile Inference 5 (FPI5)

- Grant Funding Profile Inference (GFPI)

> ***Note**: If another funding profile inference page (other than the three listed above) is necessary to infer a Funding Profile, the updates must be made directly on the appropriate page, after the CAS document is submitted to Final Phase.*

In the Funding Profile Inference component, the user selects the Insert New Line button to create a new blank line.

- **Funding Profile Inference** - From the drop down list, select the appropriate funding profile inference page:
  - **FPI5** - Infers a Funding Profile based upon the Department, Major Program, Program, and reimbursement eligibility
  - **FPI2** - Infers a Funding Profile based upon the Department, Major Program, Program, Phase, and reimbursement eligibility
  - **GFPI** - Infers a Funding Profile based upon the Department, Major Program, Program, and reimbursement eligibility
- **Department** and **Major Program** - These fields are inferred from the Major Program component
- **Program** - Enter the Program code exactly as it is entered on the Program component
- **Phase** - This field is required if FPI2 is selected in the Funding Profile Inference field
- **Funding Profile** - Enter the Funding Profile code exactly as it was entered in the Funding Profile component
- **Reimb Eligible** - For eligible Funding Profiles, from the drop down list, select Eligible. For ineligible Funding Profiles, from the drop down list, select Ineligible

Cost Accounting Setup Budget

A budget line can be created for both new and existing Programs, within the Major Program identified on the CAS document. The existing Program does not have to be entered in the Program component of the CAS, in order to enter a budget line for that existing Program. For projects and grants using the automated reimbursement or front end split process, the CAS document may be used to create both the reimbursement and the program budget documents.

In the Budget section, the user selects the Insert New Line button to create a new blank line. More than one budget can be associated with a Major Program on the CAS document. Insert lines as needed to complete the necessary budgeted amounts.

- **Budget Doc Code** - Select the Document Code for the appropriate budget structure
- **Event Type** - The most common entries are BG22 for reimbursable budget lines and BG01 for program budget lines. Refer to department procedure
- **Name, Start Date**, and **End Date** - These fields are optional. Refer to department procedure

- **Dollar Amount** - Enter the budget line dollar amount at the Funding Priority level for reimbursable budget lines. For program budget lines, enter the dollar amount at the Program/Phase, or Program/Program Period levels
- **Fiscal Year** and **Period** - These fields will be auto populated by AFIS
- **Departmen**t and **Major Program** - These fields will be inferred from the Major Program component
- **Program** - Enter the Program code exactly as it is entered in the Program component

***Note**: You may select an existing Program code from the pick list if you are entering new budget information for an existing Program.*

- **Program Period** and **Phase** - Enter these values exactly as entered in the associated component, if required for the budget document selected. For example, Program Period is required for the BGPDR document and Phase is required for the BGPHR document. An error message is generated if a value is entered in a field that is inappropriate for the budget structure
- **Funding Profile** - Enter the Funding Profile exactly as it is entered in the Funding Profile component
- **Funding Priority** - Enter the Funding Priority exactly as it is entered in the Funding Priority component

Cost Accounting Setup Created Documents

The Created Documents component displays the document information related to the budget documents that are created as a result of the CAS document being processed to Final Phase. Click the document link to navigate to the budget document.

5.5. Entering a CAS

The Cost Accounting Setup (CAS) document is the method used by departments to create grant and project cost structures, and associated budget lines, in a single document.

ACTIVITY 5.5

Create a CAS Document

Scenario

Congratulations! The Notification of Award for the AZ Health Improvement Grant has been received. You will use the CAS document to create a new Major Program, Program, Program Period, Funding Profiles, a program budget document and a reimbursement budget document for the new grant.

Setup

✓ User is logged in to the AFIS Home Page.

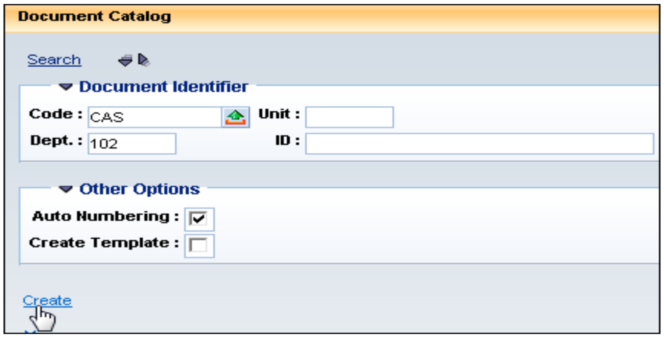
Steps

A. Navigate to the Document Catalog to initiate a CAS document to create the new cost structure.

1. On the Secondary Navigation Panel, click **Search.**
2. Click **Document Catalog**.

B. Enter information in the Document Catalog**.**

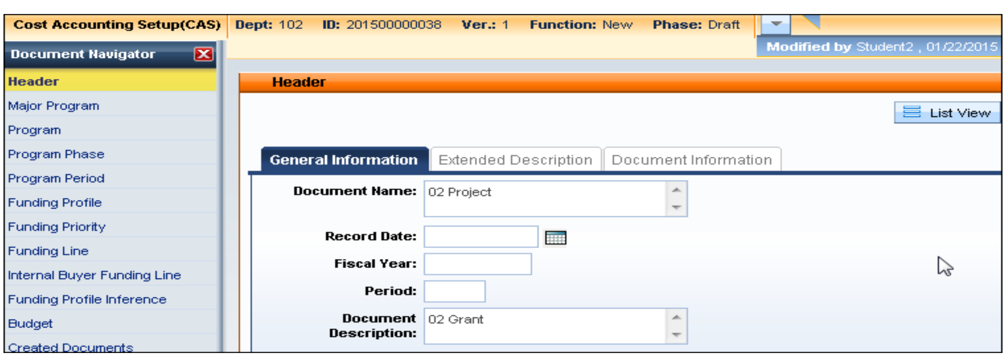
1. Click **Create** to switch to Create mode.
2. In the **Code** field, enter ***CAS***.
3. In the **Dept** field, enter ***the data from your student data card.***
4. In the **Other Options** component, check the **Auto Numbering** check box.
5. Click **Create.** The CAS opens on Header component.



C. Complete the General Information tab on the Header component of the CAS.

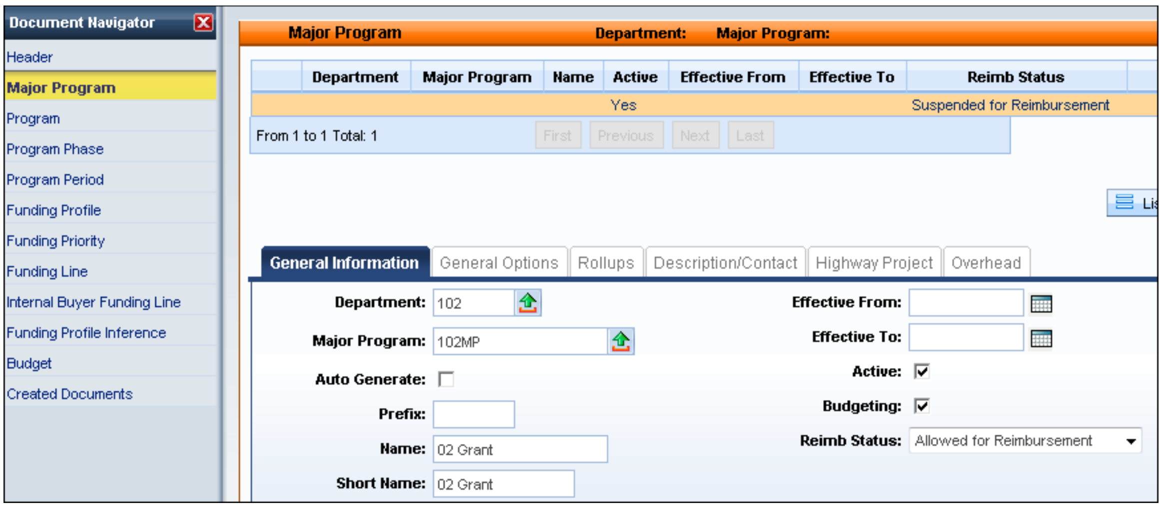
1. When the **CAS** document is created, a new Document ID is generated. Notice that the document is shown as Ver: 1, Function: New, Phase: Draft.
2. To navigate within a document, you can either click the component name at the bottom of the document, or use the Document Navigator panel. In this training, you will use the Navigator.
   i) If necessary, click the **Open Document Navigator** icon (small arrow on left side) to switch to Document Navigator mode.
   ii) If necessary, click the on the **minimize/restore** icon (in the upper right corner of the document window) to show the component names.
3. On the Header, in the **Document Name** field, enter ***XX Project*** where XX is your Student Number located on your student data card.
4. The **Record Date**, **Fiscal Year**, and **Period** fields will be auto populated when you validate or submit the CAS document. Fiscal Year and Period are not relevant on a CAS or CAM document.
5. In the **Document Description** field, enter ***XX Grant*** where XX is your Student Number located on your student data card.

Note*: The fields in the Header component are optional unless required by department procedure.*



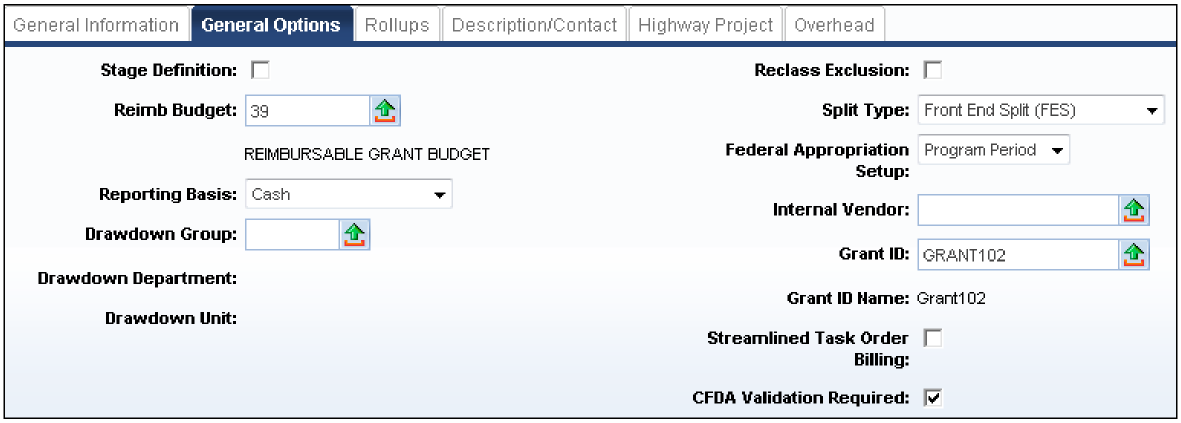
D. Complete the General Information tab in the Major Program component of the CAS to create a new Major Program.

1. On the Document Navigator, click **Major Program**.
2. In the **Department** field, enter ***the data from your student data card***.
3. In the **Major Program** field enter, ***XXXMP*** where XXX represents the department from your student data card.
4. In the **Name** field, enter ***XX Grant*** where XX is your Student Number located on your student data card.
5. In the **Short Name** field, enter ***XX Grant*** where XX is your Student Number located on your student data card.
6. The **Active** and **Budgeting** check boxes remain checked.
7. From the **Reimb Status** drop down list, select **Allowed for Reimbursement**.



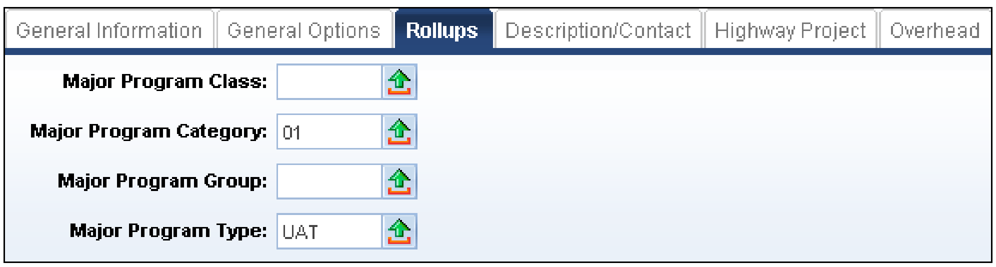
E. Complete the General Options tab in the Major Program component.

1. Click the **General Options** tab.
2. For this scenario, the **Stage Definition** check box remains unchecked since Stages are not being used.
3. From the **Reimb Budget** pick list, select **39 – Reimbursable Grant Budget.**
4. From the **Reporting Basis** drop down list, select **Cash**.
5. For this scenario, the **Drawdown Group** field remains blank and the **Reclass Exclusion** check box remains unchecked.
6. In the **Split Type** drop down list, select **Front End Split (FES)**.
7. In the **Federal Appropriation Setup** field, retain the default entry of **Program Period**.
8. From the **Grant ID** pick list, select **GrantXXX** where XXX is the department located on your student data card. This associates the new Major Program with the grant award. The **Grant ID Name** field will be inferred when the CAS document is saved.
9. The **Streamlined Task Order Billing** check box will remain unchecked.
10. Check the **CFDA Validation Required** check box.



F. Complete the Rollups tab in the Major Program component.

1. Click the **Rollups** tab.
2. From the **Major Program Category** pick list, select ***01***.
3. From the **Major Program Type** pick list, select ***UAT***.



G. Review the Description/Contact tab in the Major Program component.

1. Click the **Description/Contact** tab.
2. The fields in this tab are for informational purposes to be determined by department procedures.

H. Review the Highway Project tab of the Major Program component.

1. Click the **Highway Project** tab.
2. For this scenario, the fields in this tab will remain blank; as this cost structure is not related to an FHWA project.

> ***Note****: The Highway Project fields can be recorded at the Major Program, Program, or Program Phase levels, depending on the project and on department procedure.*

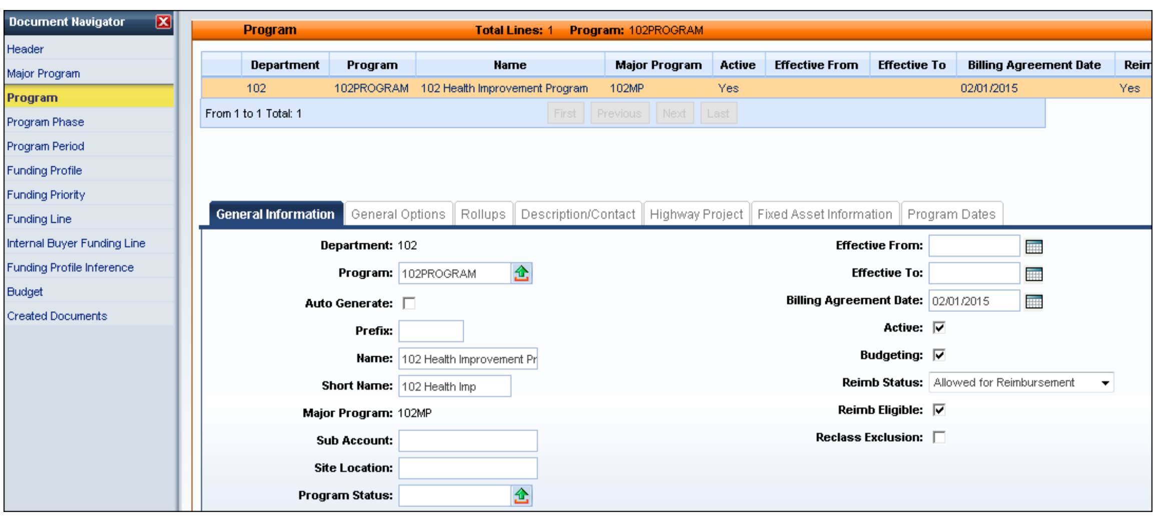
I. Review the Overhead tab of the Major Program component, then click Validate to check for errors.

1. Click the **Overhead** tab.
2. View the fields available in the Overhead tab. For this activity, these fields will remain blank.

3. Click the **Validate** button to check for errors. If any errors exist, correct the errors and click the **Validate** button again. If the validation is successful, the following message displays in the upper left corner of the screen: “Document validated successfully.”

J. Populate the General Information tab of the Program component of the CAS.

1. On the Document Navigator, click **Program**.
2. Click the **Insert New Line** button.
3. In the **Program** field enter ***XXXProgram*** where the XXX represents the department from your student data card. Make a note of this Program for future instruction:_________________________
4. In the **Name** field, enter ***XXX Health Improvement Program*** where the XXX represents the department from your student data card.
5. In the **Short Name** field, enter ***XXX Health Imp*** where the XXX represents the department from your student data card.
6. The **Major Program** field is inferred from the Major Program component.
7. In the **Billing Agreement Date** field, click the **Show Calendar** icon and select the first day of the current month.
8. The **Active** and **Budgeting** check boxes will remain checked.
9. In the **Reimb Status** field, retain the default entry of **Allowed for Reimbursement**.
10. The **Reimb Eligible** check box will remain checked, and the **Reclass Exclusion** check box will remain unchecked.



K. Review the General Options tab of the Program component.

1. Click the **General Options** tab.
2. The **Drawdown Group** field will remain blank.
3. The **Grant ID** field will remain blank, since the grant award was linked by the Grant ID at the Major Program level.
4. The **Contract Withholding Exempt** check box will remain unchecked.

***Note**: For this scenario, the fields in the Rollups tab will remain blank. On the job, refer to department procedure for the proper entries in this component.*

L. Complete the Description/Contact tab of the Program component.

1. Click the **Description/Contact** tab.
2. From the **Contact** pick list, select ***100***.
3. In the **Contact Type** field, enter ***Program Manager***.
4. In the **Additional Contact** field, enter ***Sally Jones***.
5. In the **Additional Contact Type** field, enter ***Grant Accountant***.

M. Review the Highway Project tab of the Program component.

1. Click the **Highway Project** tab.
2. For this scenario, the fields in this tab will remain blank; as this cost structure is not related to an FHWA project.

***Note**: The Highway Project fields can be recorded at the Major Program, Program, or Program Phase levels, depending on the project and on department procedure.*

N. Review the Fixed Asset Information tab of the Program component.

1. Click the **Fixed Asset Information** tab.
2. For this scenario, the **Fixed Asset Construction Program Level** field will remain blank; since you are establishing a grant, not a construction project.

O. Review the fields in the Program Dates tab of the Program component, then click Validate to check for errors.

1. Click the **Program Dates** tab.
2. For this scenario, the fields in the Program Dates tab will remain blank.
3. Click the **Validate** button to check for errors. If any errors exist, correct the errors and click the **Validate** button again. If the validation is successful, the following message displays in the upper left corner of the screen: "**Document validated successfully**."

P. Review the Program Phase component of the CAS document.

1. On the Document Navigator, click **Program Phase**.

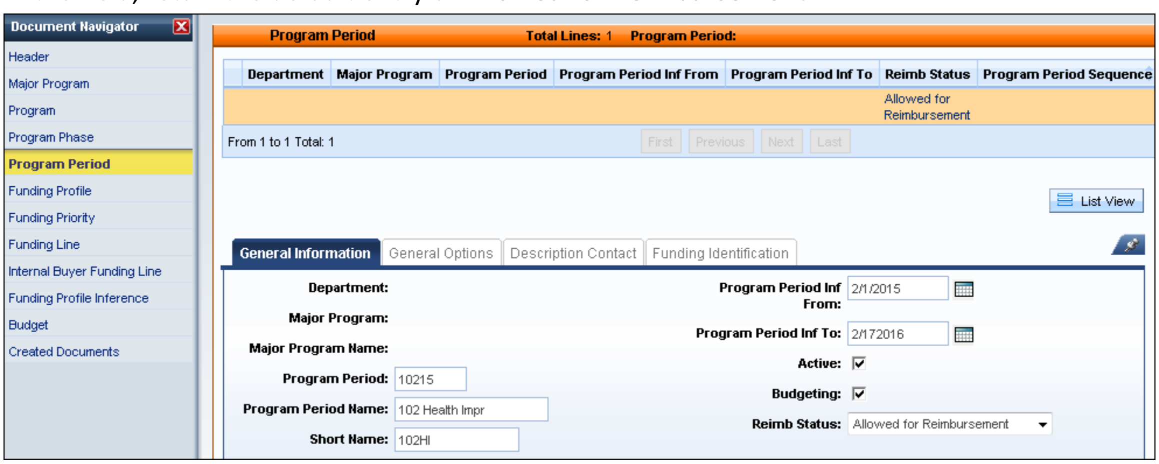
2. Make note of the fields associated within the Program Phase component on the General Information, Description/Contact, Highway Project, and Fixed Asset Information tabs.

Q. Complete the General Information tab of the Program Period component.

1. On the Document Navigator, click **Program Period**.
2. Click **Insert New Line**.
3. In the **Program Period** field, enter ***XXX15*** where XXX represents the department from your student data card. Make a note of this Program Period for future instruction:________________
4. In the **Program Period Name** field, enter ***XXX Health Impr*** where XXX represents the department from your student data card.
5. In the **Short Name** field, enter ***XXXHI*** where XXX represents the department from your student data card.
6. In the **Program Period Inf From** field, click the **Show Calendar** icon and select the first day of the current month.
7. In the **Program Period Inf To** field, enter a date one year from today's date, in the format MM/DD/YYYY.

> ***Note****: On the job, the Program Period Inf From and To date fields typically align with the grantor's fiscal year.*

8. The **Active** and **Budgeting** check boxes will remain checked.
9. In the field, retain the default entry of **Allowed for Reimbursement**.



R. Review the fields available in the General Options and Description/Contact tabs of the Program Period component.

1. Click the **General Options** tab. These fields will remain blank for this scenario.
2. Click the **Description/Contact** tab. These fields will remain blank for this scenario.

S. Complete the Funding Identification tab of the Program Period component, then click Validate to check for errors.

1. Click the **Funding Identification** tab.
2. From the **Federal Catalog Agency** pick list, select ***DCAP***. The **Federal Catalog Prefix** field will be inferred based on this selection.

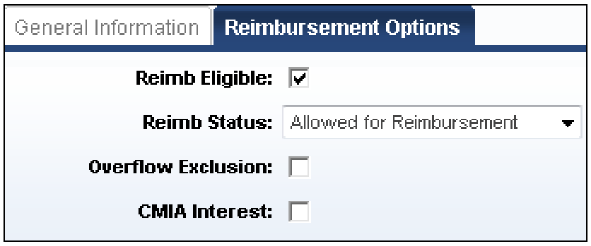
3. In the **Federal Catalog Suffix** field, enter ***055***.
4. Leave the **Federal Appropriation No** field blank.
5. The remaining fields are optional and will remain blank for this scenario.
6. Click the **Validate** button to check for errors. If any errors exist, correct the errors and click the **Validate** button again. If the validation is successful, the following message displays in the upper left corner of the screen: "Document validated successfully."

T. Create an eligible Funding Profile for the AZ Health Improvement Grant, then click Validate to check for errors.

1. On the Document Navigator, click **Funding Profile**.
2. Click the **Insert New Line** button.
3. In the **Funding Profile** field, enter ***XXX*** where XXX represents the department from your student data card.
4. In the **Funding Profile Name** field, enter ***XXX Health Impr*** where XXX represents the department from your student data card.
5. The **Effective From** and **Effective To** date fields are optional, and will default from the Major Program if left blank. For this scenario, these fields will remain blank.
6. The **Active** and **Budgeting** check boxes will remain checked.
7. The **Description** field is optional and will remain blank for this scenario.
8. Click the **Save** button.

9. Click the **Reimbursement Options** tab.

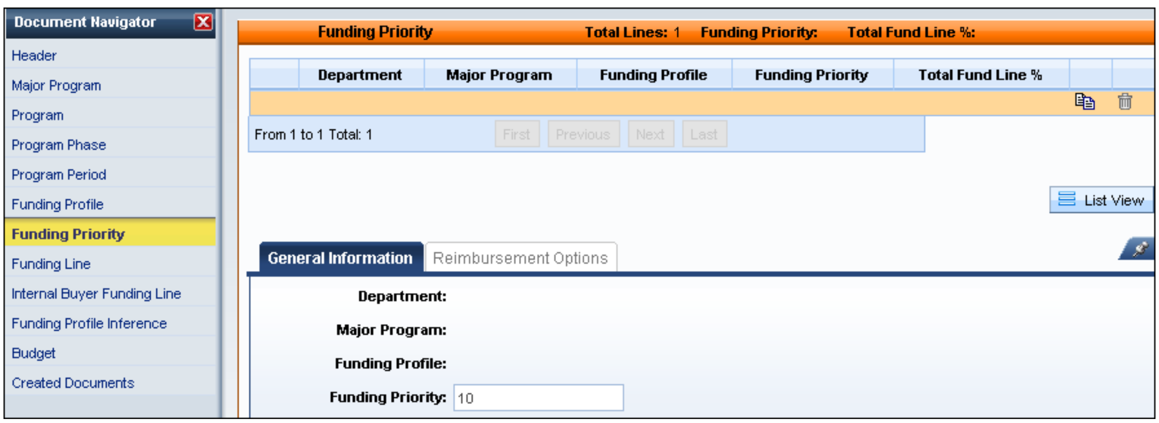
10. Notice the **Reimb Eligible** and **Reimb Status** fields are inferred from the Major Program.
11. The **Overflow Exclusion** and **CMIA** Interest fields are optional and will remain blank for this scenario.



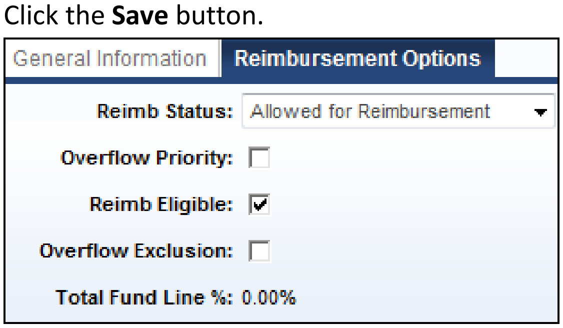
12. Click the **Validate** button to check for errors. If any errors exist, correct the errors and click the **Validate** button again. If the validation is successful, the following message displays in the upper left corner of the screen: "Document validated successfully."

U. Create a Funding Priority for the new Funding Profile.

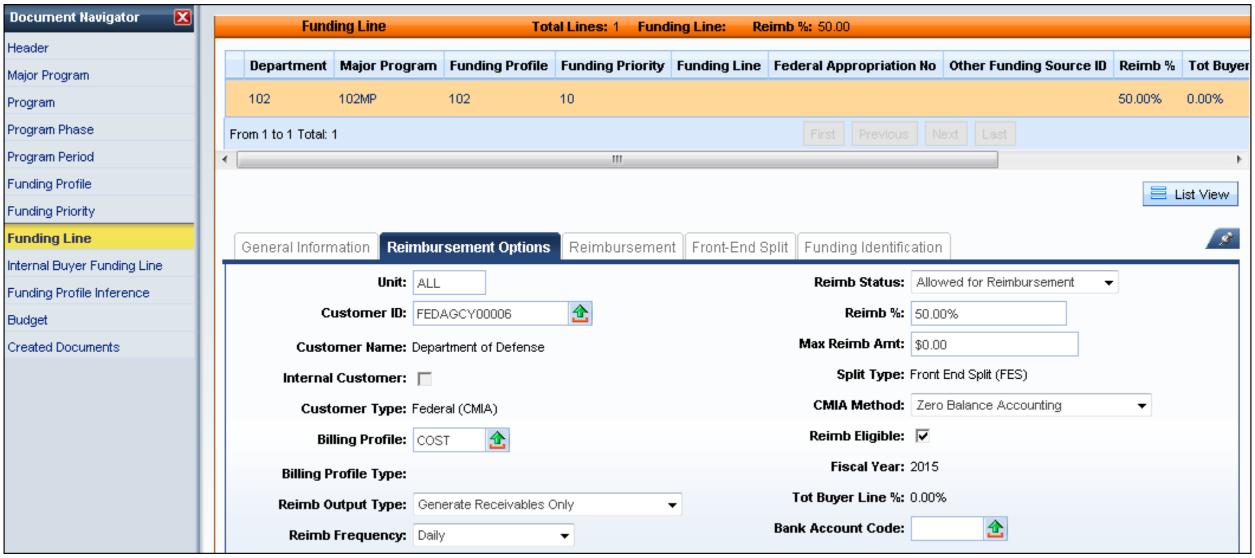
1. On the Document Navigator, click **Funding Priority**.
2. Click the **Insert New Line** button.
3. In the **Funding Priority** field, enter ***10***.



4. Click the **Reimbursement Options** tab.
5. From the **Reimb Status** drop down list, select **Allowed for Reimbursement**.
6. Check the **Reimb Eligible** check box.
7. The **Overflow Priority** and **Overflow Exclusion** check boxes will remain unchecked for this scenario.
8. Click the **Save** button.

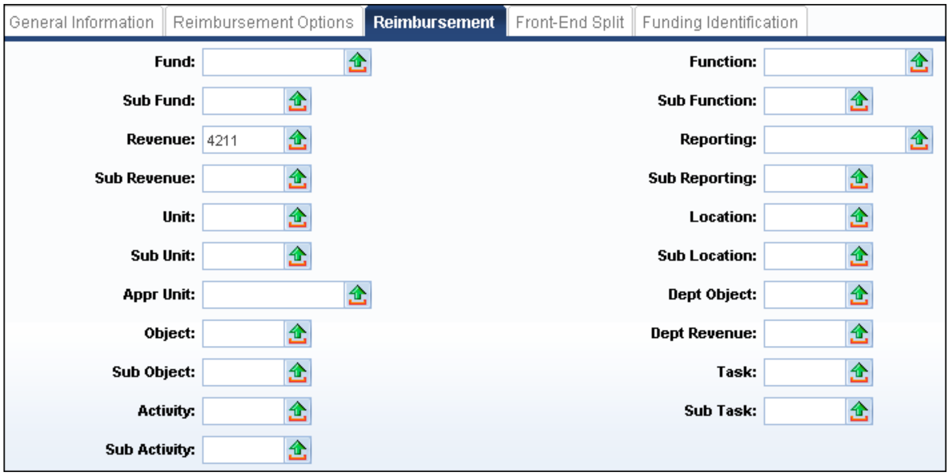


V. Create a Federal Funding Line for Funding Priority 10 and complete the Reimbursement Options tab.



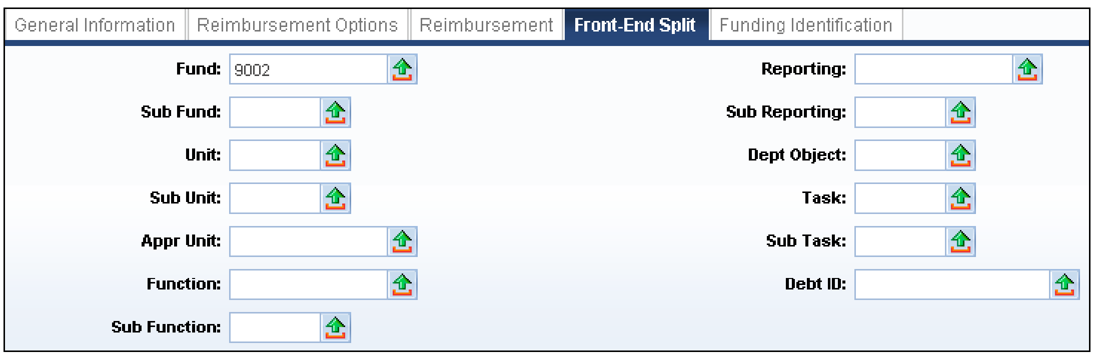
1. On the Document Navigator, click **Funding Line**.
2. Click the **Insert New Line** button.
3. Click the **Reimbursement Options** tab.
4. In the **Unit** field**,** enter ***All.***
5. In the **Customer ID**, enter ***FEDAGCY0006.***
6. In the **Billing Profile** field, enter ***COST***.
7. From the **Reimb Output Type** drop down list, select **Generate Receivables Only**.
8. From the **Reimb Frequency** drop down list, select **Daily.**
9. From the **Reimb Status** drop down list, select **Allowed for Reimbursement**.
10. In the **Reimb %** field, enter ***50***.
11. The **Max Reimb Amt** field will remain blank for this scenario.
12. From the **CMIA Method** drop down list, select **Zero Balance Accounting**.
13. Check the **Reimb Eligible** check box.
14. Click the **Save** button.

W. Complete the Reimbursement tab for the Federal Funding Line.



1. Click the **Reimbursement** tab.
2. In the **Revenue** field, select **4211**.
3. The remaining fields are completed based on department procedure.

X. Complete the Front-End Split tab for the Federal Funding Line.

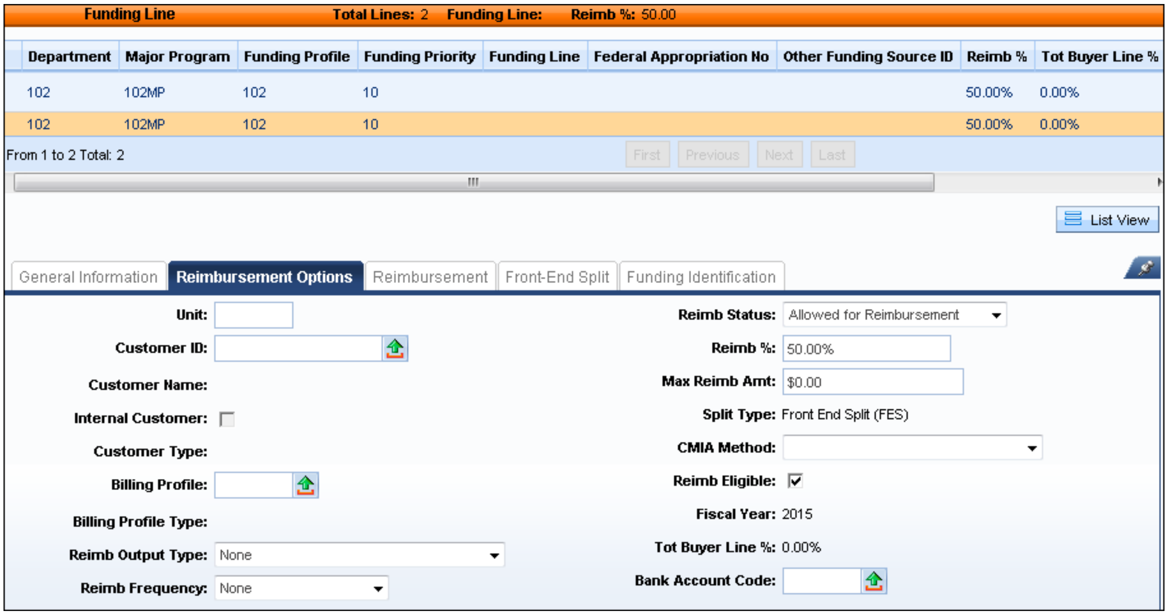


1. Click the **Front-End Split** tab.
2. In the **Fund** field, enter ***your student data card information***.
3. The remaining fields are completed based on department procedure.

Y. Review the Funding Identification tab for the Federal Funding Line.

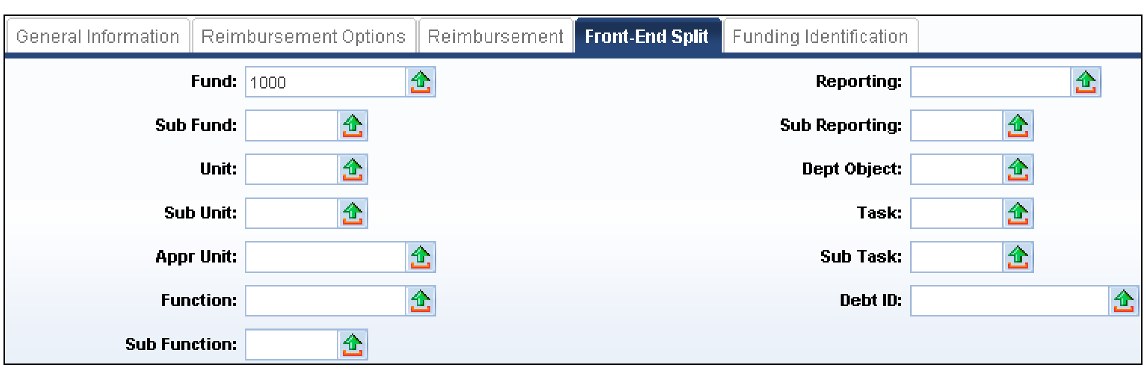
1. Click the **Funding Identification** tab.
2. The funding identification fields will remain blank, since they have been entered at the Program Period level.
3. The **Grant ID** field will remain blank for this scenario, since the grant award was associated with the Major Program.

Z. Create a State Funding Line for Funding Priority 10 and complete the Reimbursement Options tab.



1. While still on the Funding Line component, click the **Insert New Line** button. A second line is displayed in the Funding Line grid.
2. Click the **Reimbursement Options** tab.
3. The **Unit** field is blank**.**
4. The **Customer ID** is blank**.**
5. The **Billing Profile** field is blank.
6. From the **Reimb Output Type** drop down list, select **None**.
7. From the **Reimb Frequency** drop down list, select **None.**
8. From the **Reimb Status** drop down list, select **Allowed for Reimbursement**.
9. In the **Reimb %** field, enter ***50***.
10. The **Max Reimb Amt** field will remain blank for this scenario.
11. The **CMIA Method** field will remain blank for this scenario.
12. Check the **Reimb Eligible** check box.
13. Click the **Save** button.

AA. Complete the Front End Split tab for the State Funding Line, then click Validate to check for errors.



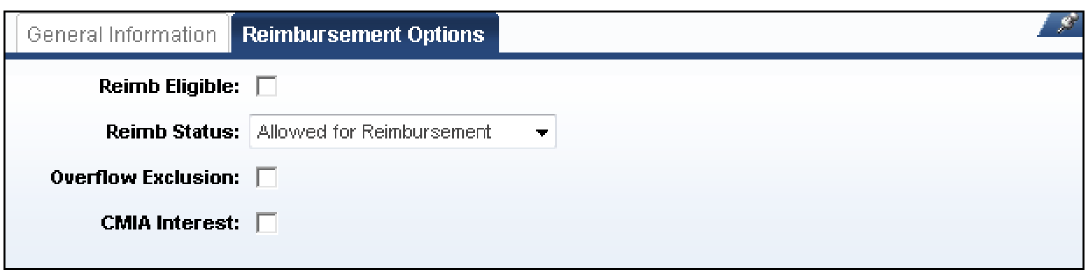
1. Click the **Front End Split** tab.

2. In the **Fund** field, select **1000**.
3. The remaining fields are optional based on Departmental procedures.
4. Click the **Validate** button to check for errors. If any errors exist, correct the errors and click the **Validate** button again. If the validation is successful, the following message displays in the upper left corner of the screen: “Document validated successfully.”

BB. Create an Ineligible Funding Profile for the Health Improvement Grant.

1. On the Document Navigator, click **Funding Profile**.
2. Click **Insert New Line**.
3. Click the **General Information** tab.
4. In the **Funding Profile** field, enter ***XXXINEL*** where XXX represents the department from your student data card.
5. In the **Funding Profile Name** field, enter ***XXX Health Impr Ineligible*** where XXX represents the department from your student data card.
6. The **Effective From** and **Effective To** fields remain blank.
7. Verify that the **Active** and **Budgeting** check boxes are selected.
8. In the **Description** field, enter ***INELIG FP-HEALTH IMPROVEMENT***.

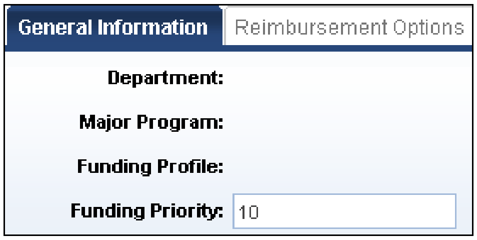
CC. Enter information in the Reimbursement Options tab of the ineligible Funding Profile.



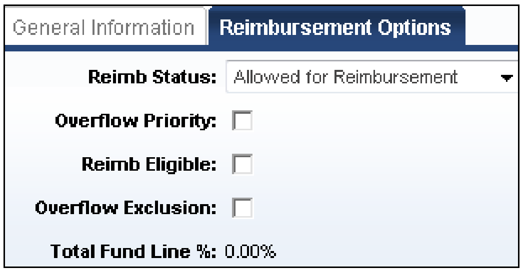
1. Click the **Reimbursement Options** tab.
2. Uncheck the **Reimb Eligible** check box.
3. The **Reimb Status** field retains the value of **Allowed for Reimbursement**.
4. Click **Save.**

DD. Create one Funding Priority for the ineligible Funding Profile.

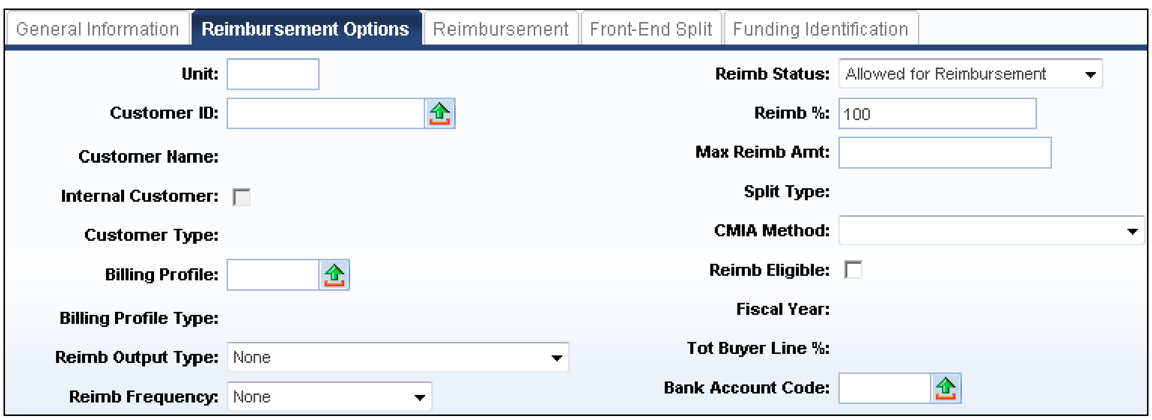
1. On the Document Navigator, click **Funding Priority**.
2. Click **Insert New Line**.
3. Click the **General Information** tab.
4. In the **Funding Priority** field, enter ***10.***



5. Click the **Reimbursement Options** tab.
6. From the **Reimb Status** drop down list, select **Allowed for Reimbursement**.
7. The **Reimb Eligible** check box remains unchecked.
8. Click **Save.**



EE. Create a single Funding Line for the ineligible Funding Profile. Only the Reimbursement Options component must be completed for ineligible Funding Profiles.



1. On the Document Navigator, click **Funding Line**.
2. Click **Insert New Line**.
3. Click the **Reimbursement Options** tab.
4. From the **Reimb Output Type** drop down list, select **None**.
5. From the **Reimb Frequency** drop down list, select **None**.
6. From the **Reimb Status** drop down list, select **Allowed for Reimbursement**.
7. In the **Reimb %** field, enter ***100***.
8. The **Reimb Eligible** check box remains unchecked.

FF. Complete the Front-End Split tab for the State Funding Line, then click Validate to check for errors.

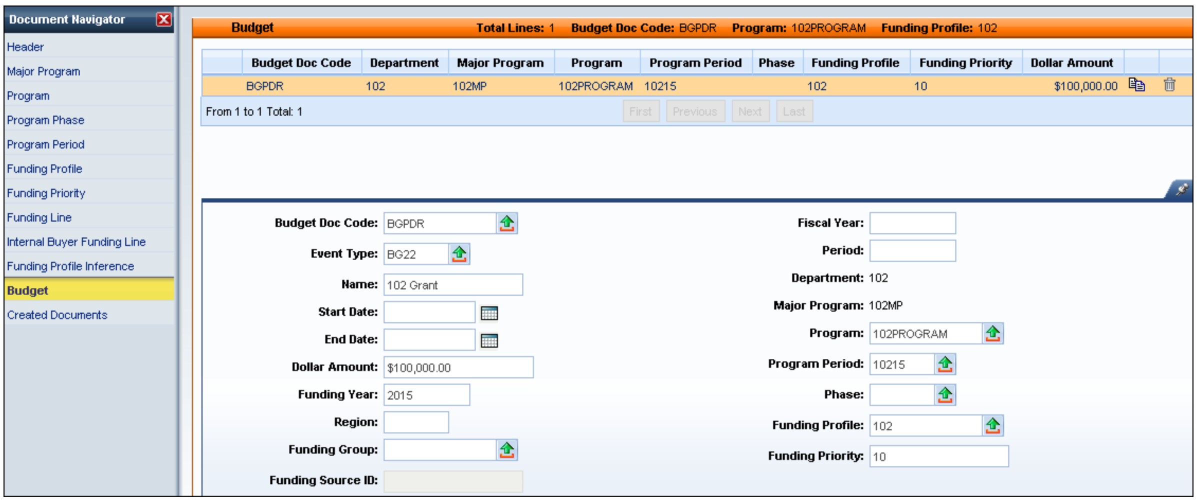
1. Click the **Front-End Split** tab.
2. In the **Fund** field, select **1000**.
3. The remaining fields are optional based on Department procedures.

4. Click the **Validate** button to check for errors. If any errors exist, correct the errors and click the **Validate** button again. If the validation is successful, the following message displays in the upper left corner of the screen: "Document validated successfully."

GG. View the Funding Profile Inference component.

1. On the Document Navigator, click **Funding Profile Inference**.
2. This component will remain blank, since entries must be made manually on the FPI4 page, after the CAS document is submitted to Final Phase.

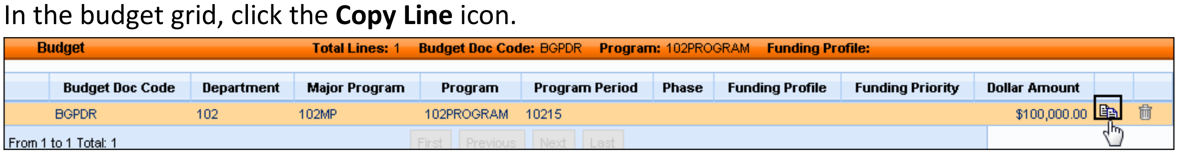
HH. Create a reimbursement budget for the eligible Funding Profile for the Health Improvement Grant.



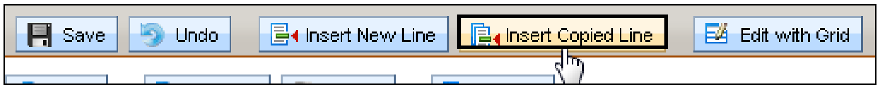
1. On the Document Navigator, click **Budget**.
2. Click the **Insert New Line** button.
3. From the **Budget Doc Code** pick list, select **BGPDR**.
4. From the **Event Type** pick list, select **BG22** (Award Reimbursable Budget).
5. In the **Name** field, enter ***XXX Grant*** where XXX represents the department from your student data card.
6. In the **Dollar Amount** field, enter ***100000***.
7. In the **Funding Year** field, enter the current fiscal year.
8. In the **Program** field, enter Program code that you created in this activity.
9. In the **Program Period** field, enter the Program Period code that you created in this activity.
10. In the **Funding Profile** field, enter ***XXX*** where XXX represents the department from your student data card, exactly as you entered it in the Funding Profile component of the CAS document.
11. In the **Funding Priority** field, enter ***10***.

II. Create a reimbursement budget for ineligible Funding Profile for the Health Improvement Grant.

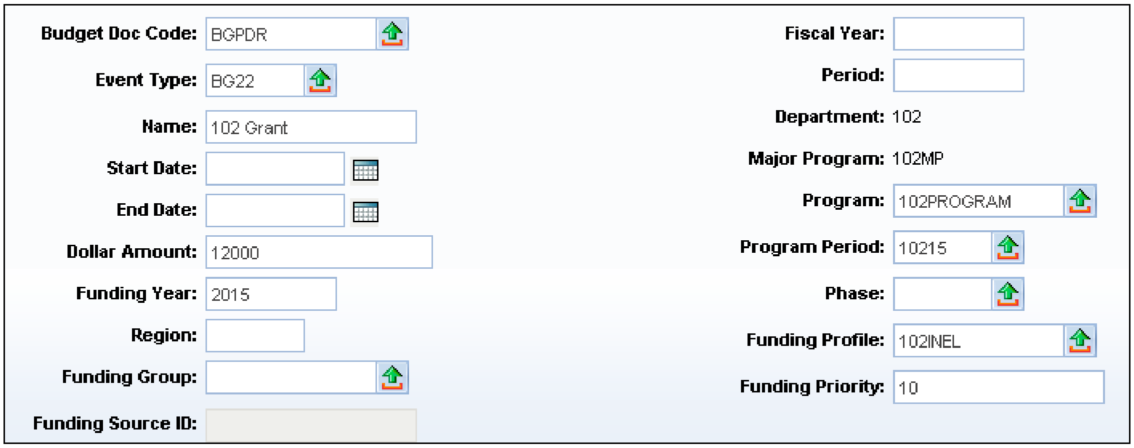
1. In the budget grid, click the **Copy Line** icon.



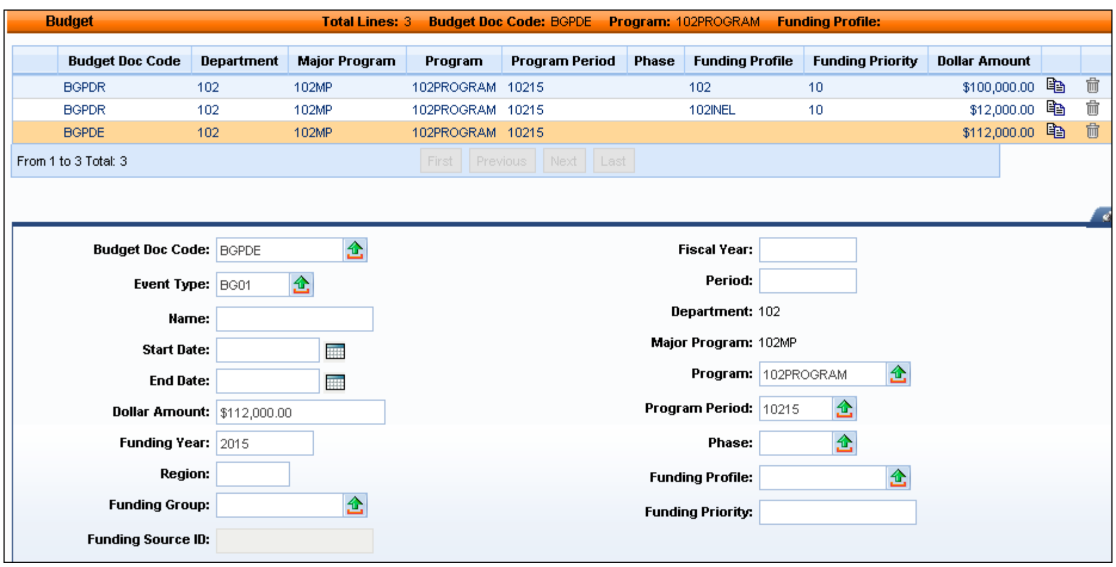
2. Click the **Insert Copied Line** button.



3. In the **Dollar Amount** field, remove the copied value of 100000 and enter ***12000***.
4. In the **Funding Profile** field, remove the copied value of XXX and enter ***XXXINEL*** where XXX represents the department from your student data card, exactly as you entered it in the Funding Profile component of the CAS document.



JJ. Create a program budget for the AZ Health Improvement Grant, then validate and submit the CAS document, click Close, and return to the Home Page.



1. Click **Insert New Line.**
2. From the **Budget Doc Code** pick list, select **BGPDE**.
3. In the **Event Type** field, enter **BG01** (Adopt an Expense Budget).
4. In the **Dollar Amount** field, enter ***112000***.
5. In the **Funding Year** field, enter the current fiscal year.
6. In the **Program** field, enter the Program code that you created in this activity.
7. In the **Program Period** field, enter the Program Period code that you created in this activity.

8. Click the **Save** button.
9. Click the **Validate** button to check for errors. If any errors exist, correct the errors and click the **Validate** button again. If the validation is successful, the following message displays in the upper left corner of the screen: “Document validated successfully.”
10. Click the **Submit** button to submit the document for approval after all errors are resolved. If the submission is successful, the following message displays in the upper left corner: “Document submitted successfully.”
11. Click **Close**.
12. Click **Home** on the Primary Navigation Panel to return to the Home Page.

5.6. Researching CAS Documents

This topic reviews the tables that are updated by CAS documents, the created budget document, and budget status of the new cost structure.

Major Program Reference Tables

When submitted to Final Phase, the CAS document updates all of the reference tables represented by the CAS document components (Major Program, Program, Program Phase, etc.).

Budget Documents and Budget Inquiry Pages

When submitted to Final Phase, the CAS document creates budget documents and updates budget inquiry pages.

Budget documents generated from the CAS document are created in Final Phase with an auto-generated Document ID, based on the Department value specified within the Budget line. The budget document requires no further action unless errors are generated when the document is created.

From the Created Documents component of the CAS document, the user may navigate to the budget document by clicking on the document link. If errors are present, corrections must be made. After the corrections are made, click the Smart Budget Rollup button on the lowest budget level line to create the higher levels of the budget document if needed, then submit the document to Final Phase. Any changes made to the budget document are not reflected on the CAS document.

Once the budget document is in Final Phase, the corresponding budget inquiry pages are also updated.

ACTIVITY 5.6

View the Cost Structure; View and Submit Generated Budget Document

Scenario

A Cost Accounting Setup (CAS) document has been submitted to Final Phase.

Navigate to each of the reference tables in the cost structure to view the new records created from the CAS. In addition, two budget documents have been generated. View the budget documents by navigating from the Created Documents component of the CAS document to the new budget documents. Finally, navigate to a budget inquiry page to view the budget status of the new grant.

Setup

- ✓ User is logged in to the AFIS Home Page.
- ✓ The CAS document in the previous activity has been submitted to Final Phase.

Steps

A. Navigate to the Major Program page and view the record created from your CAS document.

1. In the **Jump to** field, enter ***MJPRG***.
2. Click **Go**. The MJPRG page is displayed.

B. Search for and view your new Major Program record.

1. Click **Search**. A search window is displayed.
2. In the **Name** field, enter ***XX Grant*** where XX represent the student number from your student data card.
3. Click **Ok**. Your new Major Program record is displayed.
4. Review the data populated on MJPRG from the CAS document.

C. Search for and view your new Program record.

1. In the **Jump to** field, enter ***PROG***.
2. Click **Go**. The PROG page is displayed.
3. Click **Search**. A search window is displayed.
4. In the **Program** field, enter ***XXXPROGRAM*** where XXX represent the department from your student data card.
5. Click **Ok**. Your new Program record is displayed.
6. Review the data populated on PROG from the CAS document.

D. Search for and view your new Program Period record.

1. In the **Jump to** field, enter ***PPC***.
2. Click **Go**. The PPC page is displayed.
3. Click **Search**. A search window is displayed.
4. In the **Program Period** field, enter ***XXX15*** where XXX represent the department from your student data card.

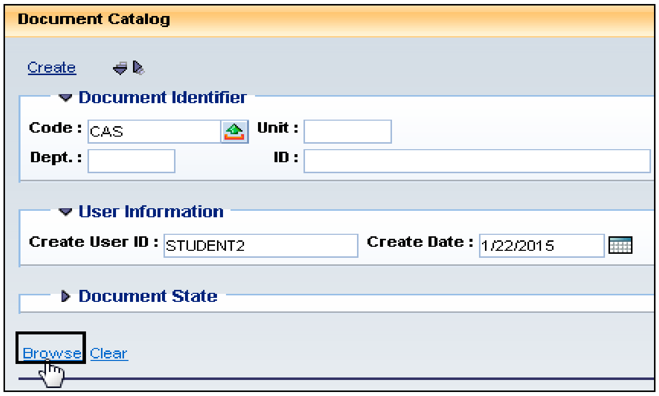
5. Click **Ok**. Your new Program Period record is displayed.
6. Review the data populated on PPC from the CAS document.

E. Search for and view your new Funding Profile records, then return to the Home Page.

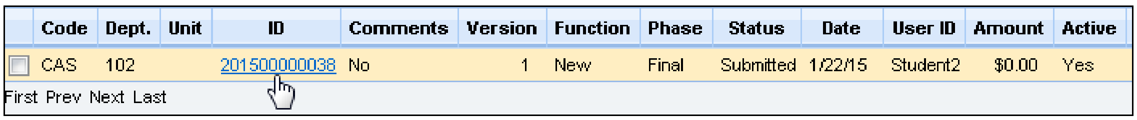
1. In the **Jump to** field, enter ***FPRFLST***.
2. Click **Go**. The Funding Profile Select page is displayed.
3. In the **Funding Profile** field, enter ***XXX*** where XXX represent the department from your student data card.
4. Click **Browse**. Your new eligible Funding Profile record is displayed in the grid.
5. Click the **View Funding Profile** link. The Funding Profile Summary is displayed.
6. Review the data populated on the Funding Profile Summary from the CAS document.
7. On the Secondary Navigation Panel, click **Funding Priority**.
8. Click the **Reimbursement Options** component to expand it.
9. View the data populated on the Funding Priority from the CAS document.
10. On the Secondary Navigation Panel, click **Funding Line**.
11. View the data populated on the two Funding Lines created from the CAS document.
12. Click Funding Line **2** in the grid to select it.
13. On the Secondary Navigation Panel, click **Close** to close the Funding Profile record.
14. In the **Funding Profile** field, enter ***XXXINEL*** where XXX represent the department from your student data card.
15. Click **Browse**. Your new ineligible Funding Profile record is displayed in the grid.
16. Click the **View Funding Profile** link. The Funding Profile Summary is displayed.
17. View the various components and fields entered for the ineligible Funding Profile.
18. To return to the Home Page, click **Home** in the Primary Navigation Panel.

F. Search for the CAS document you created in the previous activity.

1. On the Secondary Navigation Panel, click **Search.**
2. Click **Document Catalog**.
3. In the **Code** field, enter ***CAS.***
4. Click the **User Information** section to expand it.
5. In the Create User ID field, enter ***your Student ID***.
6. In the **Create Date** field, enter the ***current date.***
7. Click **Browse**.



8. In the results grid, click the **ID** link. The CAS document is opened on the Header section.

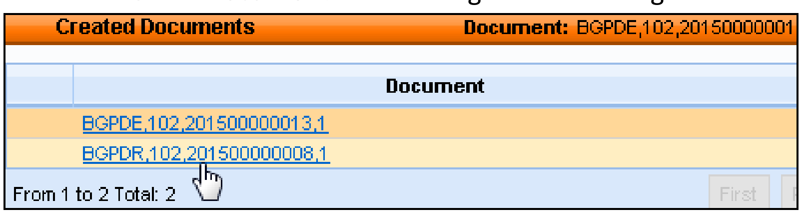


	Code	Dept.	Unit	ID	Comments	Version	Function	Phase	Status	Date	User ID	Amount	Active
	CAS	102		201500000038	No	1	New	Final	Submitted	1/22/15	Student2	$0.00	Yes

First Prev Next Last

G. Navigate to the BGPDR budget document generated by the CAS document.

1. On the Document Navigator, click **Created Documents**.
2. In the grid, notice the two budget documents created by the CAS.
3. Click the **BGPDR Document** link to navigate to the budget document.



H. View the status of the BGPDR budget lines, then click Close on the BGPDR document.

1. Notice that there are many informational messages regarding Budget Line Controls. No action to address these messages is needed.
2. From the Document Navigator, click the **Program Budget** component to view the two budget lines at this summary level. There is one budget line for each funding profile.
3. Click the **Program Period Budget** component. Notice the three budget lines at the Funding Line level.
4. Submit the document to update the budget records.
5. Click **Close** on the BGPDR document. The CAS document is displayed.

I. View the status of the BGPDE budget lines, then click Close on the BGPDE and CAS documents and return to the Home Page.

1. From the Created Documents component of the CAS document, click the **BGPDE Document** link to navigate to the BGPDE document.
2. Notice that there are many informational messages regarding Budget Line Controls. No action to address these messages is needed.
3. From the Document Navigator, click the **Major Program Budget** component to view the single budget line at this summary level.

4. From the Document Navigator, click the **Program Budget** component to view the single budget line at this summary level.
5. Click the **Program Period Budget** component to view the single budget line at this summary level.
6. Submit the document to update the budget records.
7. Click **Close** on the BGPDR document. The CAS document is displayed.

J. Navigate to BQ39LV1 to view the budget lines created by the BGPDR document.

1. In the **Jump to** field, enter ***BQ39LV1***.
2. Click **Go**. The BQ39LV1 page is displayed.
3. Click **Search**. A search window is displayed.
4. In the **Program Period** field, ***XXX15*** where XXX represents the department from your student data card.
5. Click **Ok**. Two new budget lines are displayed in the grid: one for the eligible Funding Profile and one for the ineligible Funding Profile.
6. Click the **Budgeted Amounts** component to expand it.
7. Notice the reimbursement budget is populated in the **Awarded** budget field.
8. In the grid, select the second budget line.
9. View the budget information for the second Funding Profile.

K. Navigate to BQ38LV1 to view the budget lines created by the BGPDE document, then return to the Home Page.

1. In the **Jump to** field, enter ***BQ38LV1***.
2. Click **Go**. The BQ38LV1 page is displayed.
3. Click **Search**. A search window is displayed.
4. In the **Department** field, ***XXX*** where XXX represents the department from your student data card.
5. Click **Ok**. Your new program budget line is displayed in the grid.
6. Click the **Budgeted Amounts** component to expand it.
7. Notice the program budget is populated in the **Adopted** budget field.
8. Click **Home** on the Primary Navigation Panel to return to the Home Page.

5.7. Additional Data Entry

As noted in the Overview of the Cost Accounting Document topic, there are some actions that the CAS document is unable to complete. In our scenario, the grant requires funding profile inferences using a page that can't be updated using the CAS document: the FPI4 page. These records may be entered in AFIS after the CAS document is processed to Final Phase and the associated Chart of Accounts elements are updated on the Major Program tables.

ACTIVITY 5.7

Update the Funding Profile Inferences for your cost structure

Scenario

The CAS document has been submitted to Final Phase. Manually update the FPI4 page to infer the proper Funding Profiles for the new cost structure.

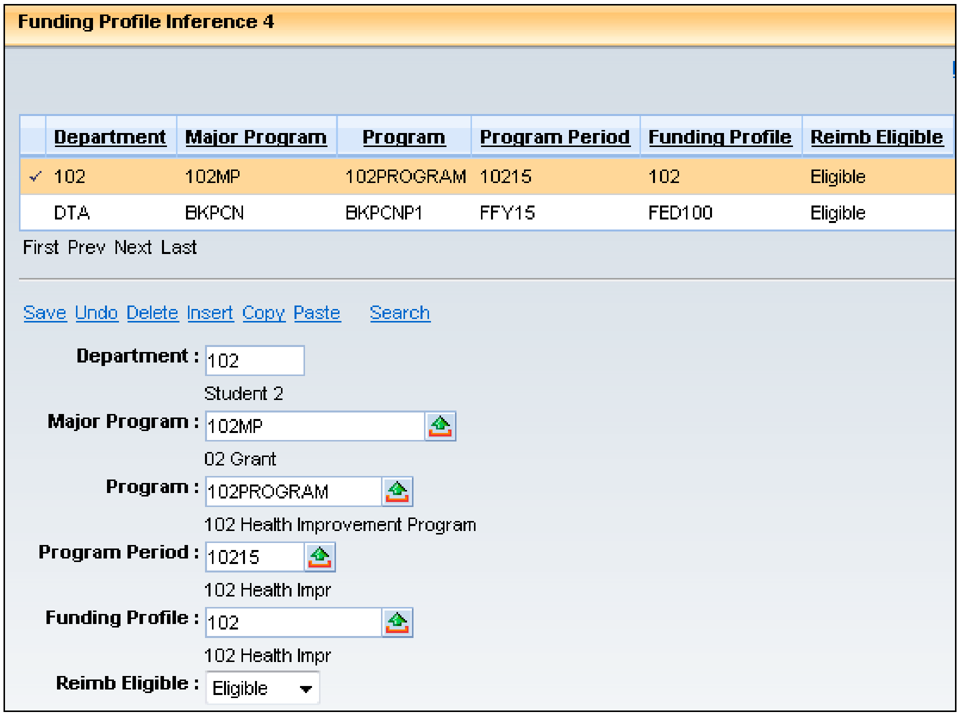
Setup

- ✓ User is logged in to the AFIS Home Page.
- ✓ The CAS document in Activity 5.5 has been submitted to Final Phase.

Steps

A. Navigate to the Funding Profile Inference by Program Period and Appropriation (FPI4) page and create a funding profile inference record for the eligible Funding Profile.

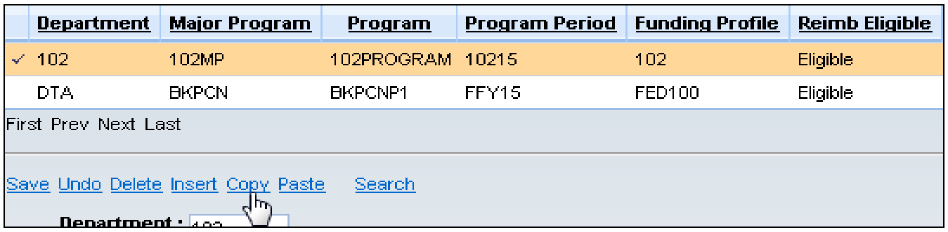
1. In the **Jump to** field, enter ***FPI4***.
2. Click **Go**. The FPI4 page is displayed.
3. Click **Insert**.
4. In the **Department** field, enter ***the data from your student data card***.
5. In the **Major Program** field, enter the Major Program code you created in Activity 5.5.
6. In the **Program** field, enter the Program code you created in Activity 5.5.
7. In the **Program Period** field, enter ***XXX15*** where XXX represents the department code from your student data card.
8. In the **Funding Profile** field, enter ***XXX*** where XXX represents the department code from your student data card.
9. From the **Reimb Eligible** drop down list, select **Eligible**.
10. Click **Save**.



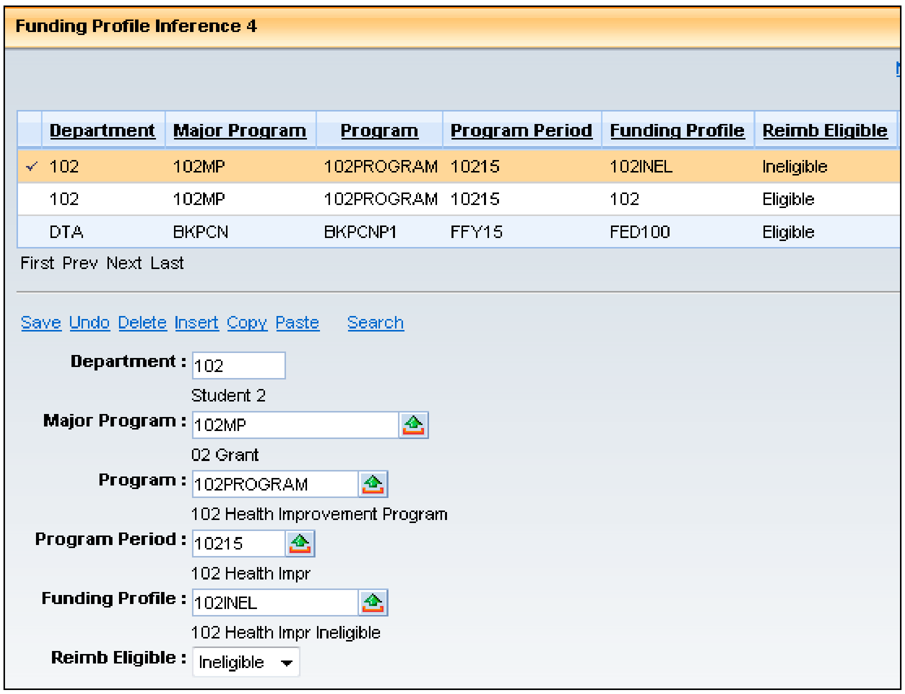
B. Create a funding profile inference record for the ineligible Funding Profile, then return to the Home Page.

1. In the FPI4 grid, verify that your new record for the eligible Funding Profile is highlighted. There will be a check mark to the left of the entry in the grid.

2. Click **Copy**.



3. Click **Paste**.
4. In the **Funding Profile** field, remove the entry XXX and enter ***XXXINEL*** where XXX represents the department code from your student data card.
5. From the **Reimb Eligible** drop down list, select **Ineligible**.
6. Click **Save**.
7. Click **Home** on the Primary Navigation Panel to return to the Home Page.



5.8. Attachments

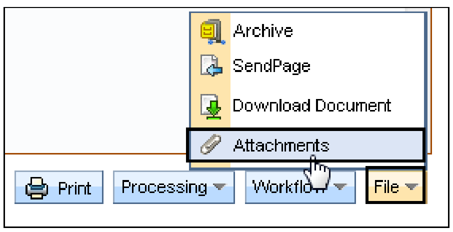
Electronic files attached to the following components of the CAS document are also attached to the record on associated reference table when the CAS document is submitted to Final Phase.

- Major Program
- Program
- Program Period
- Program Phase
- Funding Line

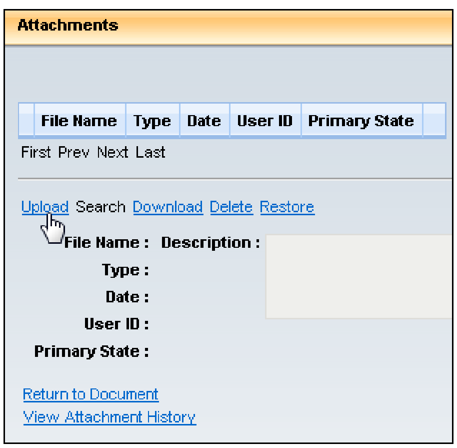
Note that a file attached to the Header component of the CAS will not be attached to a reference table, since no reference tables are updated by information in the CAS Header component.

Follow these steps to attach an electronic file to a component of the CAS document:

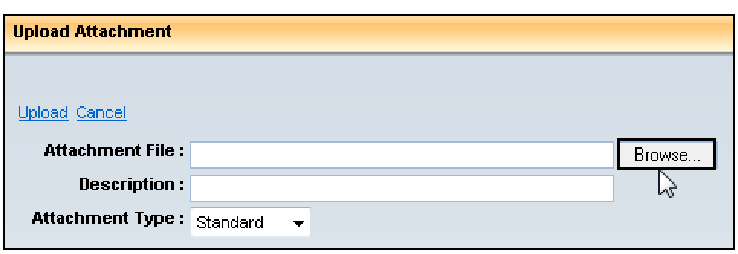
1. Identify the reference table that the file should be attached to.
2. Navigate to the component of the CAS that is associated with that reference table.
3. If there are multiple lines within that component of the CAS, select the specific line that requires a file attachment.
4. Click the File menu in the lower right corner of the CAS.
5. Select Attachments from the File menu. The Attachments window is displayed.



6. Click Upload.

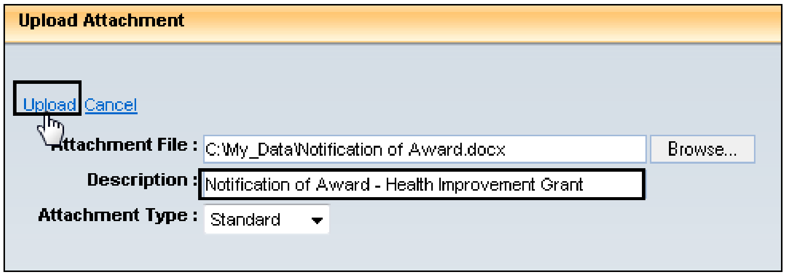


7. Click Browse to search for the file to be attached.

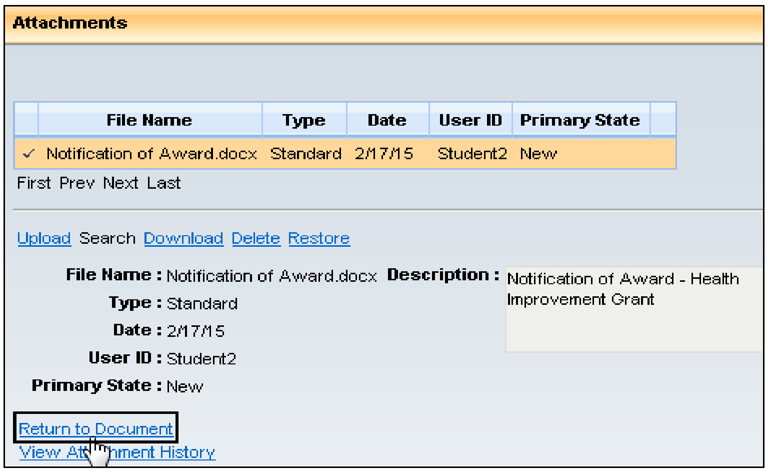


8. Locate and select the file to be attached, then click Open. The Upload Attachment page is displayed.
9. In the Description field, enter a description of the file.

10. Click Upload. The Attachments page is displayed.

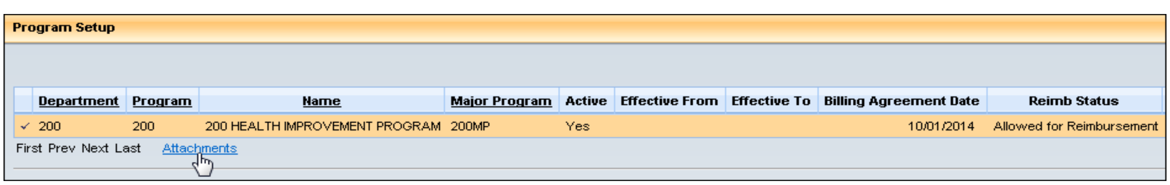


11. Click Return to Document to return to the CAS document.



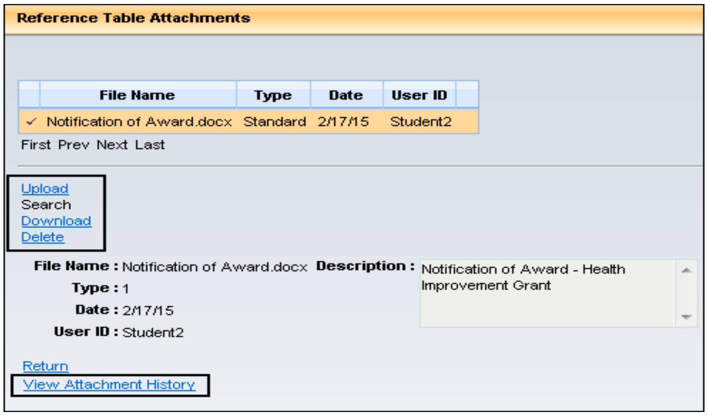
12. Notice the paperclip icon in the component header and to the left of the line that is selected. A numeral is also displayed to indicate the number of files attached in each location.

13. When the CAS is submitted to Final Phase, a copy of the file will be attached to the new record on the corresponding reference table.
14. Navigate to the reference table.
15. Search for the new record.
16. Click the Attachments link below the grid.



17. The Reference Table Attachments page is displayed and the attachment is shown in the grid.

18. From this page you may download to view the attachment; delete; or view Attachment History.



Lesson Summary

In this lesson, you:

- Created a Cost Accounting Setup (CAS) document to create a new cost structure, a funding profile inference, and new budget lines
- Viewed the BGPDR and BGPDE documents created from the CAS document
- Created an entry on the Funding Profile Inference 4 (FPI4) page for eligible expenditures and ineligible expenditures
- Viewed the records on Major Program reference tables created from the CAS document
- Viewed the budget lines created by the BDPDR and BGPDE documents

Check Your Progress

1. Using the CAS document to establish a new cost structure in AFIS is preferred because ______________.

   a. Data entry is streamlined

   b. Workflow can be established to route the CAS document for approvals

   c. Documents provide an audit trail to record who created a project, when it was created, and who approved the transaction

   d. Documents ensure that no data entry errors are made

   e. Electronic files can be attached to the CAS document

   f. a., b., c., and d.

   g. a., b., c., and e.

2. A CAS document can be used to correct a mistake made on an existing Major Program record.
    a. True
    b. False
3. A CAS document can be used to create a new ______________________.
    a. Major Program
    b. Program
    c. Program Period
    d. All of the above
4. When a CAS document is submitted to Final Phase, a BGPHR can also be generated in Final Phase to establish budget lines for new Programs and/or Phases.
    a. True
    b. False

6. Cost Accounting Maintenance

Learning Objectives

In this lesson, you will:

- Create a Cost Accounting Modification (CAM) document to modify existing entries on the Major Program, Program, and Funding Line; and add a new cost structure elements such as Program Period
- View the changes made to records on Major Program reference tables as a result of the CAM document

Lesson Overview

This lesson reviews the use of the CAM document. A CAM document is created to update existing entries on Major Program reference tables and to create new entries on some Major Program reference tables.

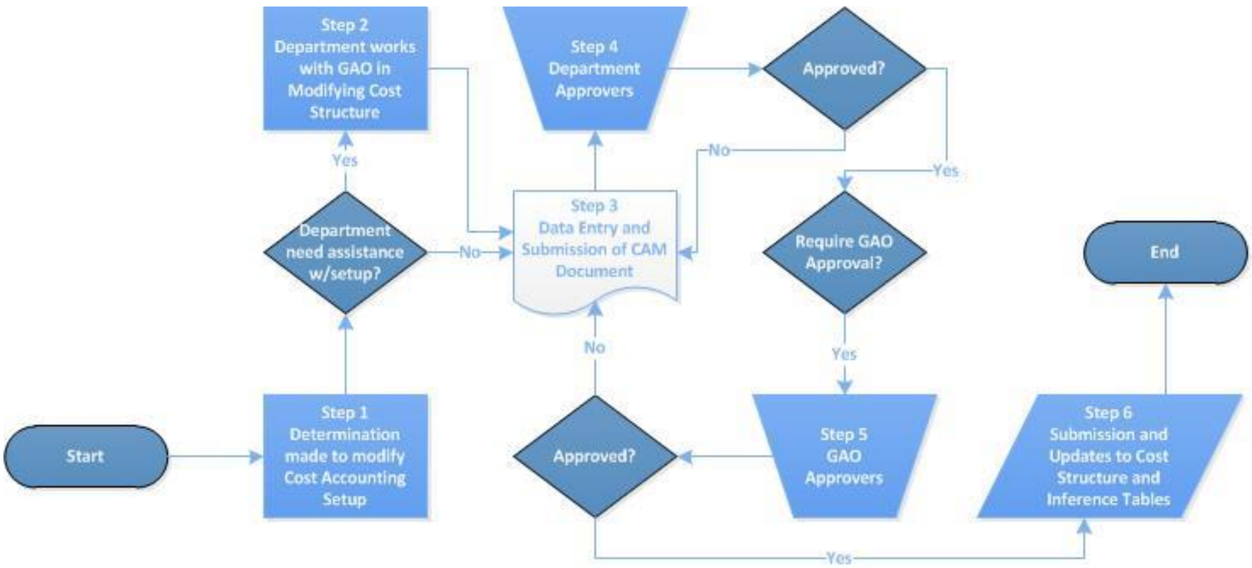
6.1. State Process Overview

The steps below describe the statewide process. Your agency may have additional requirements. This process is referenced in To Be ID PA-TB-002 and represented Figure 12 by below.

1. Managers within each Department identify the need to modify cost accounting structures within the cost accounting module. If a department requires assistance modifying a cost structure, the managers within each department will work with the GAO.
2. Managers within each department will work with the GAO to determine the optimal configuration of the cost structure for the department's needs.
3. The department is responsible for completing the Cost Accounting Maintenance (CAM) document. Additional supporting information and/or justification documentation may be attached to the CAM document. Once completed, the document will be validated and submitted, routing it through workflow for approval.
4. The CAM document requires review and approval by the department. Departmental approval will be configured for the individual departments as needed. If a document is rejected, it will be set to a draft state allowing department users to modify or correct the document and resubmit. CAM documents created by the department require GAO approval. CAM document will be routed to GAO for review and approval.
5. CAM document will be routed through workflow to the GAO for review and approval. If a document is rejected, it will be set to a draft state allowing department users to modify or correct the document and resubmit.

6. When final approval has been applied, the CAM document updates the relevant cost accounting structure and inference tables, establishing the cost structure.

Figure 12: Process of Creating a Cost Accounting Maintenance Document (PA-TB-002)



6.2. Overview of the Cost Accounting Modification Document

The Cost Accounting Modification (CAM) document is the vehicle by which the setup established in multiple cost accounting-related tables is updated by a single document. The purpose of this Document Type is to facilitate a more efficient means of adding, modifying, or deleting cost structure elements.

The CAM document allows for the modification of records on the following pages:

- Major Program (MJPRG)
- Program Setup (PROG)
- Program Period (PPC)
- Program Phase (PHPRG)
- Funding Profile (FPRFLST)
  - Funding Priority
  - Funding Line
  - Internal Buyer Funding Line
- Funding Profile Inference
  - FPI5
  - FPI2
  - GFPI

Attachments

Attachments added to the following components of the CAM document are also attached to the record on associated reference table when the CAM document is submitted to Final Phase.

- Major Program
- Program
- Program Period
- Program Phase
- Funding Line

The process for attaching electronic files in the CAM document is the same as outlined for the CAS document in Lesson 5.

Document Modifications

Once submitted to Final Phase, the CAM document code does not allow any further modifications or cancellations. If any modifications are subsequently needed, changes may be made through another CAM document.

6.3. CAM Document Components

Documents in AFIS are made up of various components (sometimes referred to as 'sections'). CAM documents consist of the same 12 components as the CAS document. The components have the same relationships to one another as described for the CAS document.

Similar to the CAS document, the associated reference tables are not updated with information from the CAM document until it is submitted to Final Phase.

> ***Note**: On the job, before initiating a new CAM document, you may want to use the Document Catalog to search for CAM documents in Draft or Pending Phase, to be sure that a CAM document has not already been created to implement the necessary updates.*

Cost Accounting Modification Header Component

The Header component stores values that apply to all components of the CAM document. The General Information tab contains descriptive fields and date information common to most document headers.

The tabs and fields available on the CAM document, Header component, are the same as those found on the CAS document. Refer to Topic 5.3 CAS Document Components for information on the purpose of each field and how to complete them.

Cost Accounting Modification Major Program Component

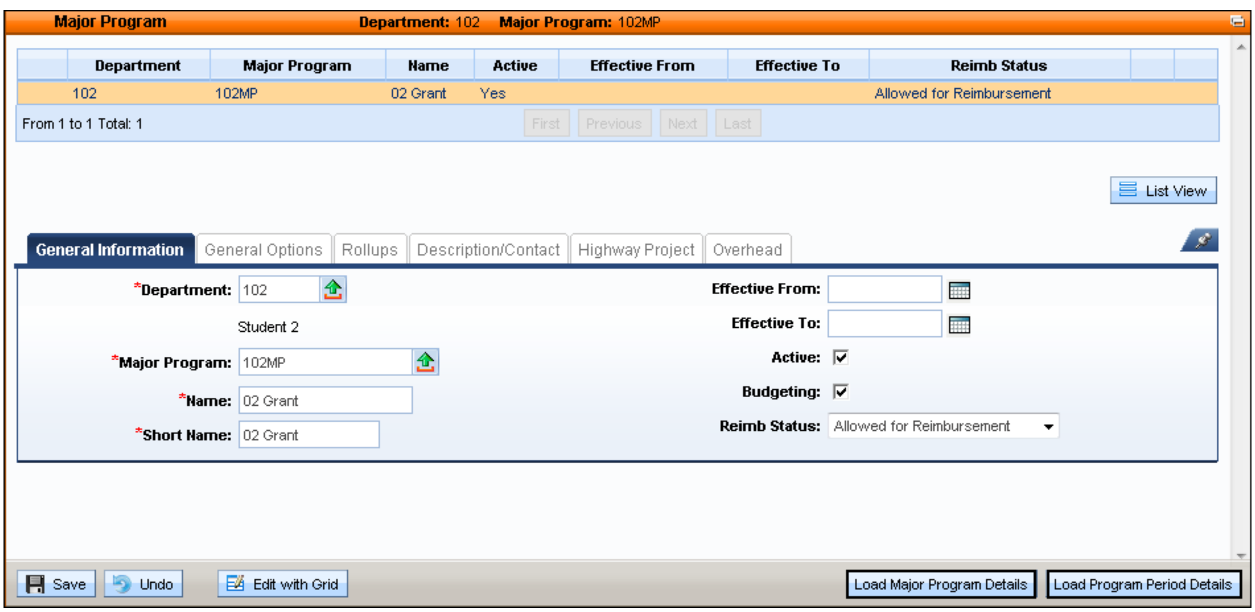
Within this component, you can modify information related to a Major Program record. A Major Program must be identified on each CAM document and only one Major Program may be entered on each document. If you wish to modify multiple Major Programs, a separate CAM document must be submitted for each Major Program.

The CAM document makes updates only to existing Major Programs and its hierarchy records, either by modifying the existing attributes or by adding hierarchy records to the Major Program. A Major Program cannot be created using a CAM Document. If the Major Program record does not exist on the Cost Accounting setup tables it must be added by creating a CAS document.

Cost Accounting Modification Major Program – General Information Tab

Select the Major Program record to be modified from the pick list, then click the Load Major Program Details button to retrieve the data for that record from the MJPRG page and populate the associated fields in the Major Program component of the CAM document. All fields on the Major Program component of the CAM may be modified except the Split Type field. If the Split Type must be updated, this must be requested through GAO.

In addition, if Program Period records for the Major Program will be needed for updates, click the Load Program Period Details button. All existing Program Period records for that Major Program will be loaded into the Program Period component of the CAM document.



The tabs and fields available on the CAM document, Major Program component, are the same as those found on the CAS document. Refer to Topic 5.3 CAS Document Components for information on the purpose of each field and how to complete them.

Cost Accounting Modification Program Component

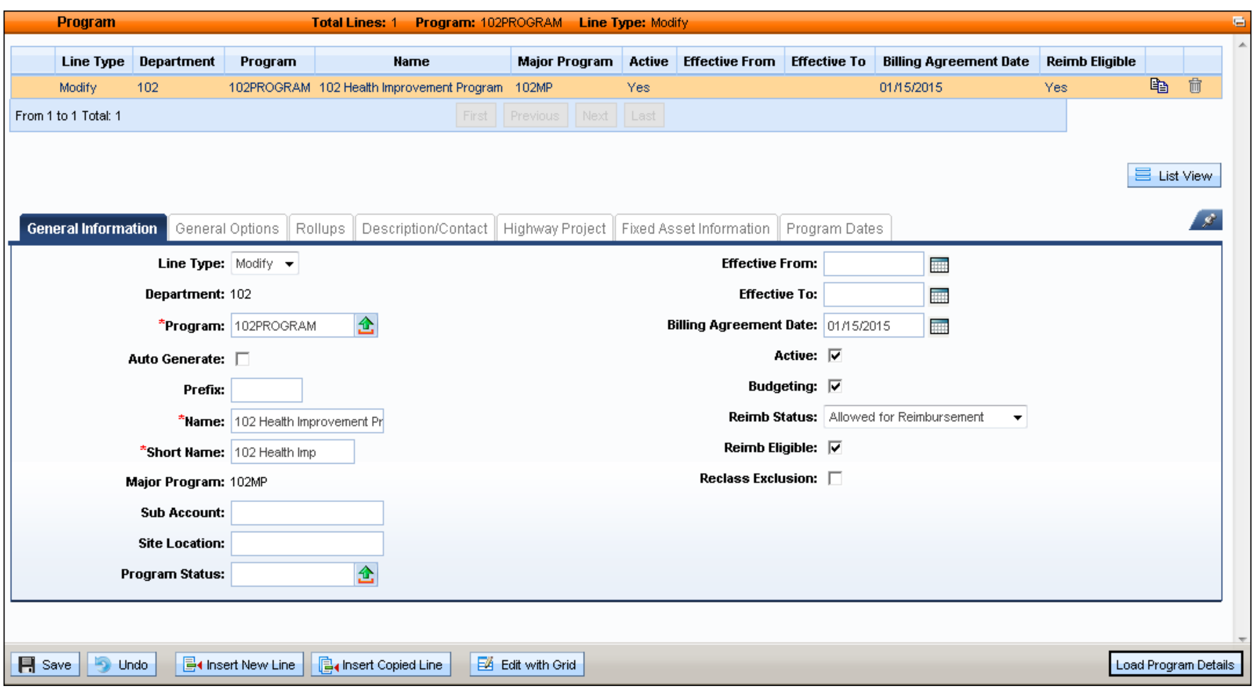
Within the CAM document, each Program line is a child record of the Major Program line. Multiple lines are allowed.

Cost Accounting Modification Program – General Information Tab

In the Program component of the CAM, you may either add new Program records, or modify existing Program records. The Line Type field is used to identify which type of action you are entering.

If you are entering a data for a new Program, click the Insert New Line button, then from the Line Type drop down list select Add. Then, the remaining tabs and fields in this component are completed in the same manner as the Program component on a CAS document.

If you are modifying data for an existing Program, click the Insert New Line button, then from the Line Type drop down list select Modify. Then, select the Program to be modified from the Program pick list (only Programs associated with the Major Program selected on the CAM will be presented on the pick list), then click the Load Program Details button to retrieve the Program data from the PROG table and populate the associated fields in the Program component of the CAM document. All fields in the Program component of the CAM, except the Department and Major Program fields, may then be modified. The tabs and fields available on the CAM document, Program component, are the same as those found on the CAS document. Refer to Topic 5.3 CAS Document Components for information on the purpose of each field and how to complete them.



If there are multiple Programs that must be updated for the Major Program, you must select and load each Program record that is being updated. There is not an option to load all children Program records for a single Major Program.

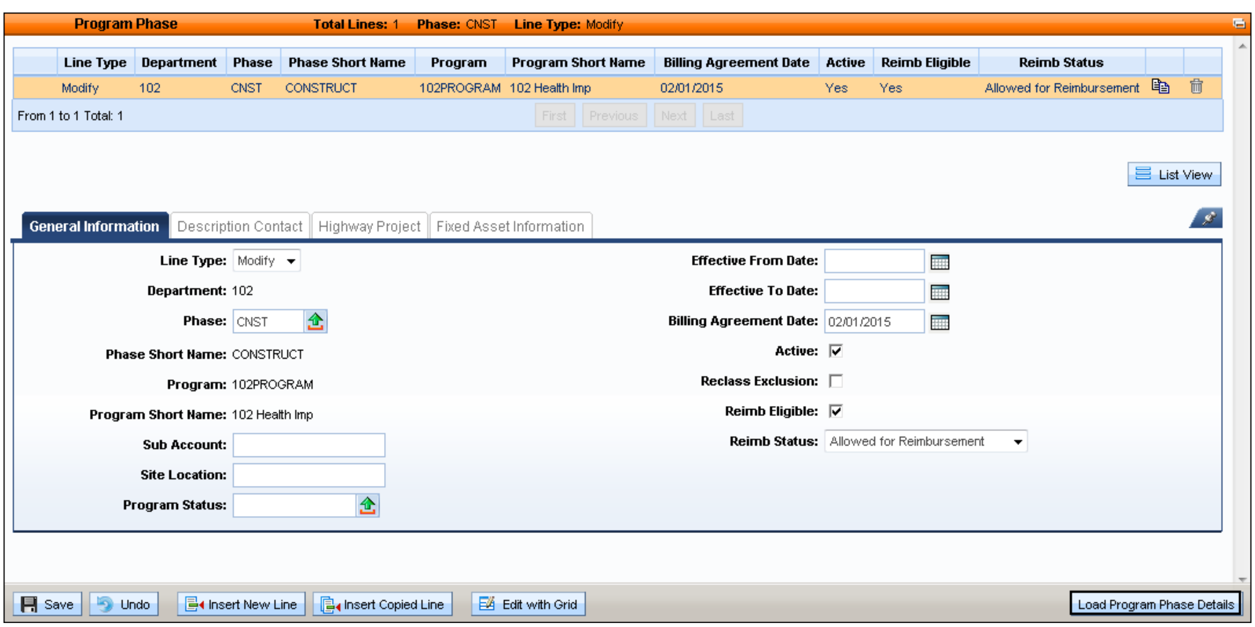
Cost Accounting Modification Program Phase Component

Within the CAM document, each Program Phase line is a child record of the Program line; therefore, the appropriate Program record must first be entered in the Program component before a Program Phase record can be added or modified in the Program Phase component. Multiple lines are allowed.

Cost Accounting Modification Program Phase – General Information Tab

Similar to the Program component, the Line Type field is used to identify whether you are adding or modifying a Program Phase record. If you are entering data for a new Program Phase, click the Insert New Line button, then from the Line Type drop down list, select Add. Then, the remaining tabs and fields in this component are completed in the same manner as the Program Phase component on a CAS document.

If you are modifying data for an existing Program Phase, click the Insert New Line button, then from the Line Type drop down list select Modify. The, select the existing Phase from the Phase pick list (only Program Phase records associated with the Program you selected on the CAM will be presented on the pick list), then click the Load Program Phase Details button to retrieve the Program Phase data from the PHPRG table and populate associated fields in the Program Phase component of the CAM document. All fields in the Program Phase component of the CAM, except the Department and Program fields, may then be modified. The tabs and fields available on the CAM document, Program Phase component, are the same as those found on the CAS document. Refer to Topic 5.3 CAS Document Components for information on the purpose of each field and how to complete them.



If there are multiple Program Phase records that must be updated for the Program, you must select and load each Program Phase record that is being updated. There is not an option to load all children Program Phase records for a single Program.

Cost Accounting Modification Program Period Component

Within the CAM document, each Program Period line is a child record of the Major Program line and multiple lines are allowed.

Cost Accounting Modification Program Period – General Information Tab

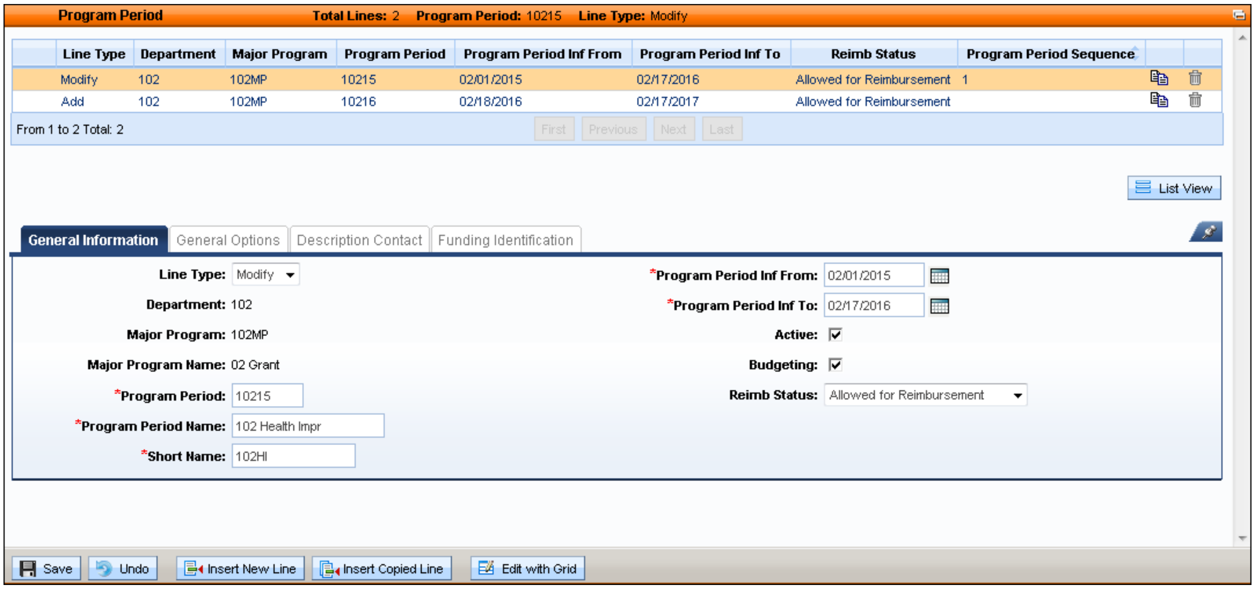
Similar to the Program component, the Line Type field is used to identify whether you are adding, modifying, or deleting a Program Period record.

If you are entering data for a new Program Period, click the Insert New Line button, then from the Line Type drop down list, select Add. Then, the remaining tabs and fields in this component are completed in the same manner as the Program Period component on a CAS document. Since the Inference From and Inference To dates on each PPC record for a Major Program cannot overlap, it is best practice to first load existing PPC records before adding a new record. This is done from the Major Program component of the CAM document, as described earlier. Unlike other components of the CAM, the Load Program Period button loads all existing PPC records for that Major Program. It is not necessary to load each PPC individually. Using this method, you can ensure that dates on the new PPC record do not overlap dates on existing PPC records. If the Inference From or Inference To dates specified in the new record fall within the dates previously established in the PPC table, you will receive an error.

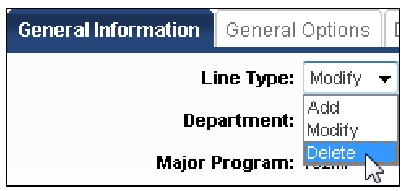
To modify an existing Program Period, follow these steps:

1. On the Major Program component, select the Major Program.
2. Click the Load Major Program Details button.
3. Click the Load Program Period Details button.

4. Navigate to the Program Period component.
5. The existing Program Period records are displayed.
6. Identify the Program Period to be modified (the Line Type field is automatically set to Modify).
7. All fields except the Department, Program Period, and Major Program fields, may then be modified.



To delete a Program Period, first load all existing Program Periods for the Major Program, using the Load Program Period Details button on the Major Program component. Then navigate to the Program Period component, locate the PPC to be deleted, and change the Line Type field from Modify to Delete.



Cost Accounting Modification Funding Profile Component

Within the CAM document, each Funding Profile is directly related to the Major Program.

Cost Accounting Modification Funding Profile – General Information Tab

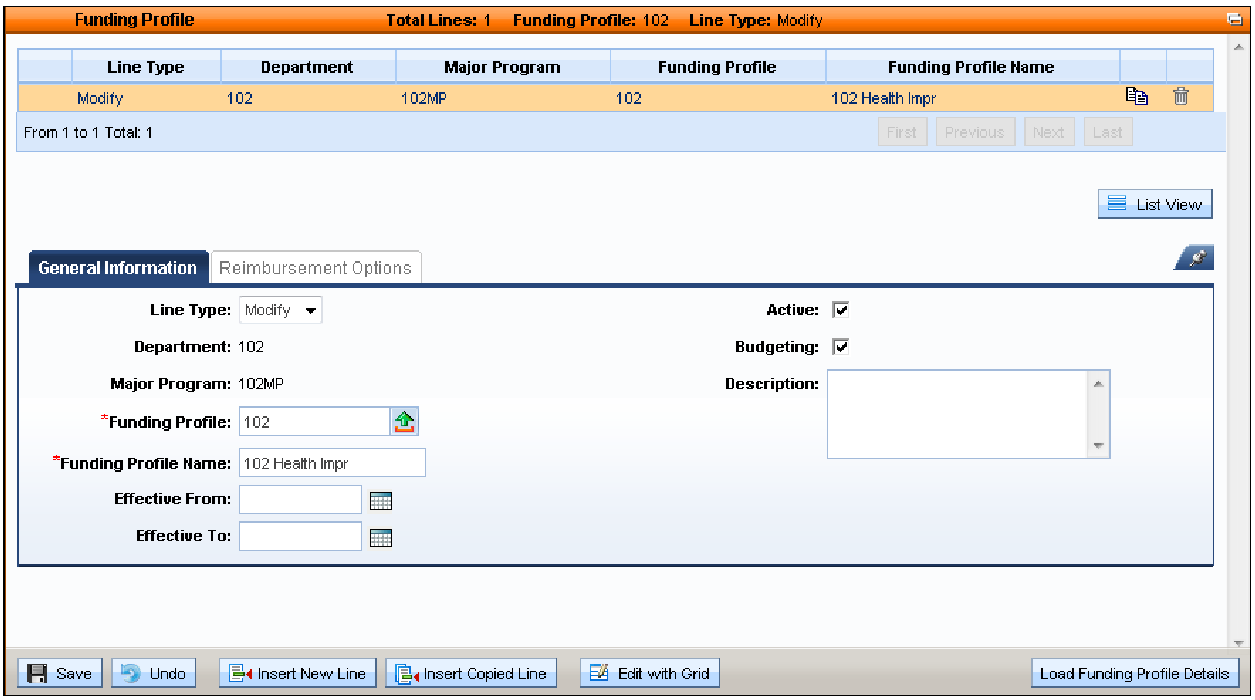
Similar to the previous components, the Line Type field is used to identify whether you are adding or modifying a Funding Profile record.

If you are entering data for a new Funding Profile, click the Insert New Line button, then from the Line Type drop down list, select Add. Then, the remaining tabs and fields in this component are completed in the same manner as the Funding Profile component on a CAS document. The tabs and fields available on the CAM document, Funding Profile component, are the same as those found on the CAS document. Refer to Topic 5.3 CAS Document Components for information on the purpose of each field and how to complete them.

If you are modifying data, follow these steps:

1. Click Insert New Line.
2. From the Line Type field, select Modify.

3. From the Funding Profile pick list, select the Funding Profile to be modified (only Funding Profile records associated with the Major Program you selected on the CAM will be presented on the pick list).
4. Click the Load Funding Profile Details button to retrieve the Funding Profile data from the FPRFLST table. All associated fields in the Funding Profile, Funding Profile, Funding Line, and Internal Buyer Funding Line components will be populated in the respective component of the CAM document.
5. All fields in the Funding Profile component of the CAM, except the Department and Major Program fields, may then be modified.



If there are multiple Funding Profile records that must be updated for the Major Program, you must select and load each Funding Profile record that is being updated. There is not an option to load all children Funding Profile records for a single Major Program.

Cost Accounting Modification Funding Priority Component

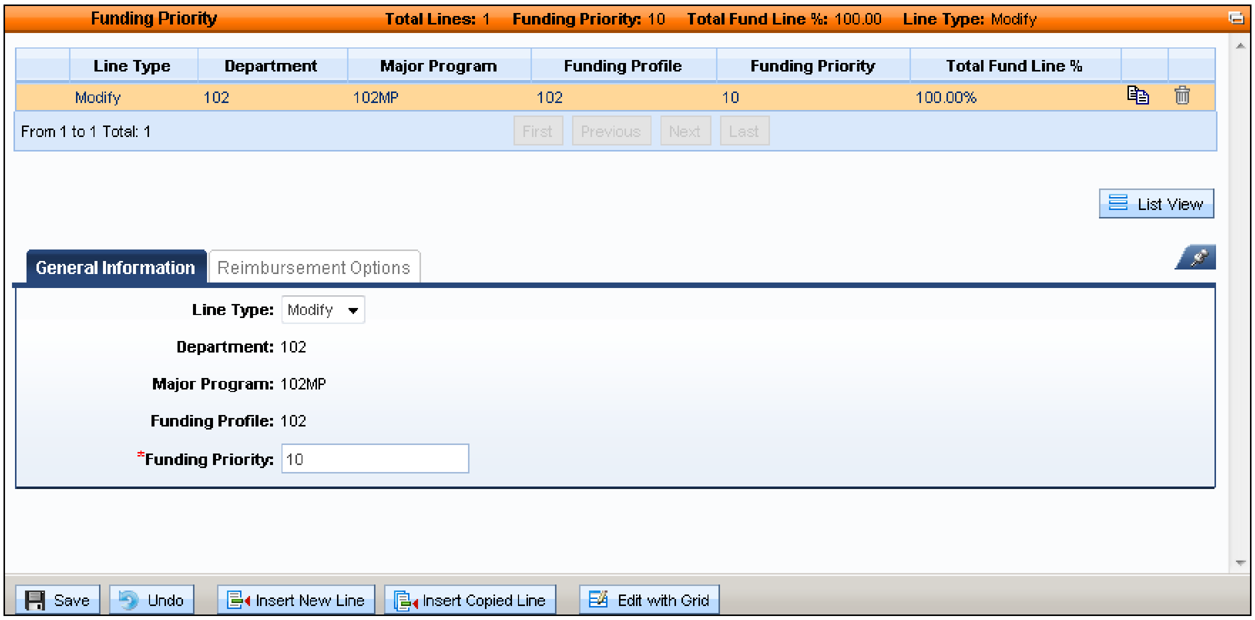
Within the CAM document, each Funding Priority line is a child record of the Funding Profile line; therefore, whether you are adding or modifying a Funding Priority, the Funding Profile component must first be populated. Multiple lines are allowed.

Cost Accounting Modification Funding Priority – General Information Tab

The CAM Funding Priority component allows line types of Add and Modify.

If you are entering a data for a new Funding Priority, click the Insert New Line button, then from the Line Type drop down list, select Add. Then, this component is completed in the same manner as the Funding Priority component on a CAS document.

There is no Load Value button available for the Funding Priority on the CAM document. If you wish to modify an existing Funding Priority record, first select a Funding Profile record and then click the Load Funding Profile Details button. The Funding Priority attributes are loaded and you can modify all values on the Funding Priority component except Department, Major Program, and Funding Profile.



Cost Accounting Modification Funding Line Component

Within the CAM document, each Funding Line is a child record of the Funding Priority line; therefore, whether you are adding, modifying, or deleting a Funding Line, the Funding Priority component must first be populated. Multiple lines are allowed.

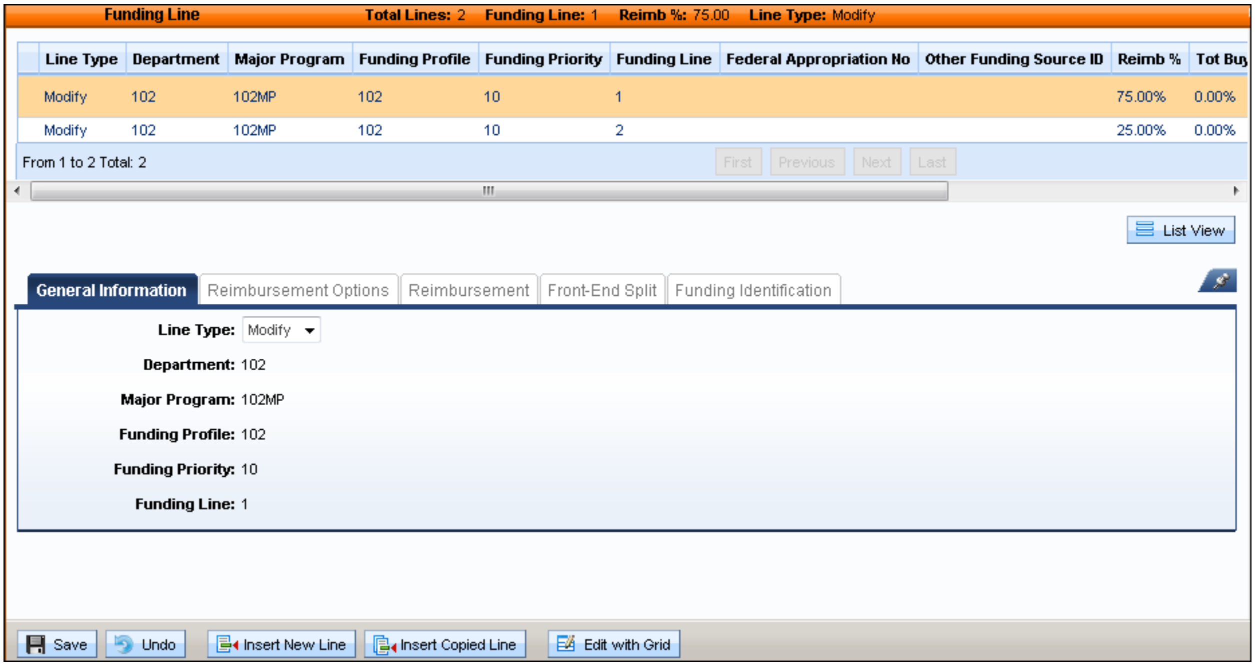
Cost Accounting Modification Funding Line – General Information Tab

The CAM Funding Line component allows line types of Add, Modify, or Delete.

If you are entering a data for a new Funding Line, click the Insert New Line button, then from the Line Type drop down list, select Add. Then, this component is completed in the same manner as the Funding Line component on a CAS document.

Like the Funding Priority component, there is no Load Value button available for the Funding Line on the CAM document. If you wish to modify an existing Funding Line record, first select a Funding Profile record and then click the Load Funding Profile Details button. The Funding Priority and Funding Line attributes are loaded and you can modify most values on the Funding Line component.

The Funding Line component is one of the few components on the CAM document that allows deletion of an existing record, using the line type of Delete. To delete a Funding Line, follow the steps to modify a Funding Line, but change the Line Type from Modify to Delete.



Cost Accounting Modification Internal Buyer Funding Line Component

Within the CAM document, each Internal Buyer Funding Line is a child record of the Funding Line; therefore, whether you are adding, modifying, or deleting an Internal Buyer Funding Line, the Funding Line component must first be populated. Multiple lines are allowed.

Cost Accounting Modification Internal Buyer Funding Line – General Information Tab

The CAM Internal Buyer Funding Line component allows line types of Add, Modify, or Delete.

If you are entering a data for a new Internal Buyer Funding Line, click the Insert New Line button, then from the Line Type drop down list, select Add. Then this component is completed in the same manner as the Internal Buyer Funding Line component on a CAS document.

Like the Funding Priority and Line components, there is no Load Value button available for the Internal Buyer Funding Line on the CAM document. If you wish to modify an existing Internal Buyer Funding Line record, first select a Funding Profile record and then click the Load Funding Profile Details button. The Internal Buyer Funding Line attributes are loaded and you can modify most values.

Unlike directly entering data in the Internal Buyer Funding Line page, when using the CAM document to add or modify an Internal Buyer Funding Line, an error is issued if the total of the Internal Buyer Funding Line % values does not equal 100.00% for a given Department/Major Program /Funding Profile/Funding Priority/Funding Line.

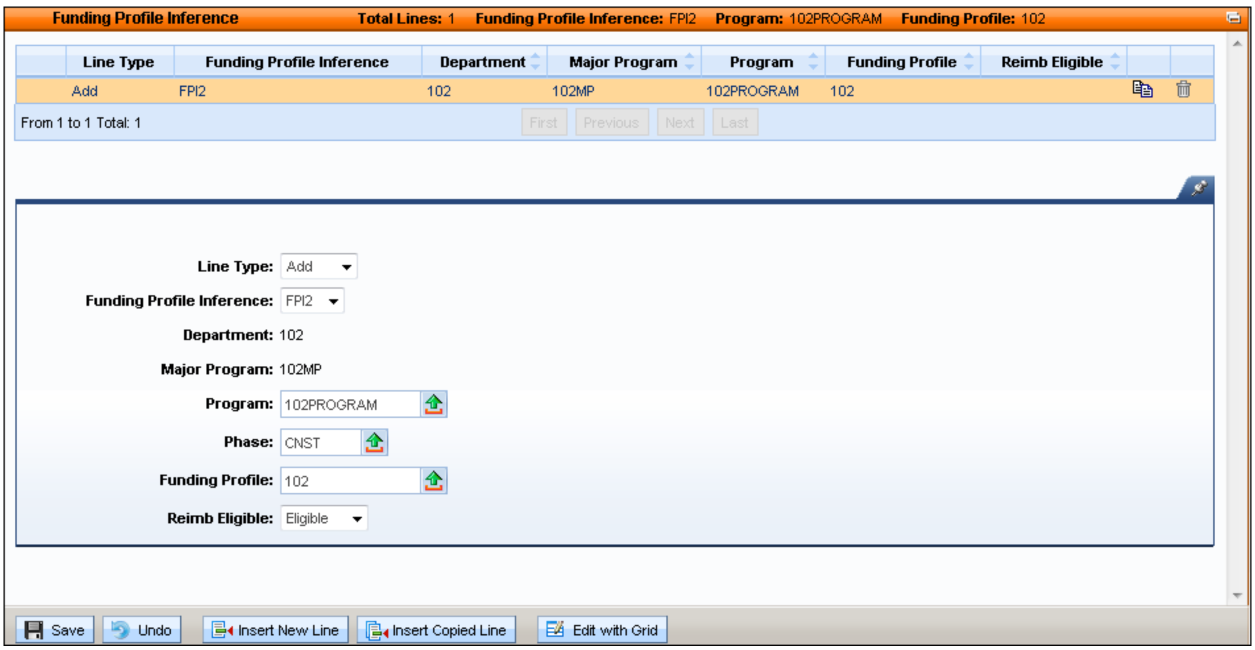
The Internal Buyer Funding Line component also allows deletion of an existing record, using the line type of Delete. To delete an Internal Buyer Funding Line, follow the steps to modify an Internal Buyer Funding Line, but change the Line Type from Modify to Delete.

Cost Accounting Modification Funding Profile Inference Component

The Funding Profile Inference lines are not children records of any other document component, but the Funding Profile Inference record must be associated with the Major Program identified on the CAM document. Multiples lines are allowed.

The CAM Funding Profile Inference component allows line types of Add or Modify, but a Load Value button is not available. You must enter the values manually to set the Cost Accounting Chart of Accounts combination in the same manner as described for the CAS document.

FPI5, GFPI, and FPI2 tables are supported in the CAM document.



Cost Accounting Modification Budget Component

Although the CAM document contains a Budget component, the State will not use the CAM document to update budgets.

6.4. Entering a CAM

The Cost Accounting Modification (CAM) document is the method used by departments to modify existing grant and project cost structures in a single document.

ACTIVITY 6.4

Create a CAM Document

Scenario

Modify the cost structure you created in Activity 5.5 by creating a CAM document to:

Make your Major Program eligible for overhead, with a default overhead rate of 20%; update the Billing Agreement Date field on your Program record; add a new Program Period for your Major Program; and modify the funding split (reimbursement percentages) on your Funding Lines for your Program.

Setup

- ✓ User is logged in to the AFIS Home Page.
- ✓ The CAS document from Activity 5.5 has been submitted to Final Phase.

Steps

A. Navigate to the Document Catalog to initiate a CAM document for the AZ Health Improvement Grant.

1. On the Secondary Navigation Panel, click **Search.**
2. Click **Document Catalog**.

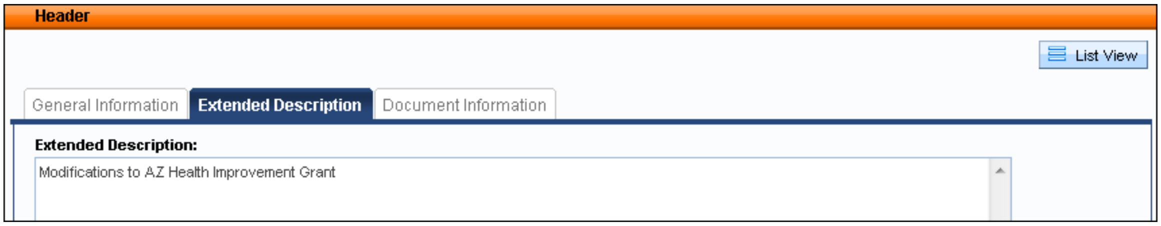
B. Enter information in the Document Catalog**.**

1. Click **Create** to switch to Create mode.
2. In the **Code** field, enter ***CAM***.
3. In the **Dept** field, enter ***the data from your student data card.***
4. In the **Other Options** component, check the **Auto Numbering** check box.
5. Click **Create.** The CAM opens on Header component.

C. Complete the Header component of the CAM.

1. When the **CAM** document is created, a new Document ID is generated. Notice that the document is shown as Ver: 1, Function: New, Phase: Draft.
2. To navigate within a document, you can either click the component name at the bottom of the document, or use the Document Navigator panel. In this training, you will use the Document Navigator. If necessary, click the **Open Document Navigator** icon (small arrow on left side) to switch to Document Navigator mode.
3. On the Header, in the **Document Name** field, enter ***XXX*** where XXX represents the department from your student data card.
4. In the **Record Date** field, enter the date two days in the past.
5. The **Fiscal Year**, and **Period** fields will be auto populated when you validate or submit the CAM document.
6. In the **Document Description** field, enter ***XXX*** where XXX represents the department from your student data card.

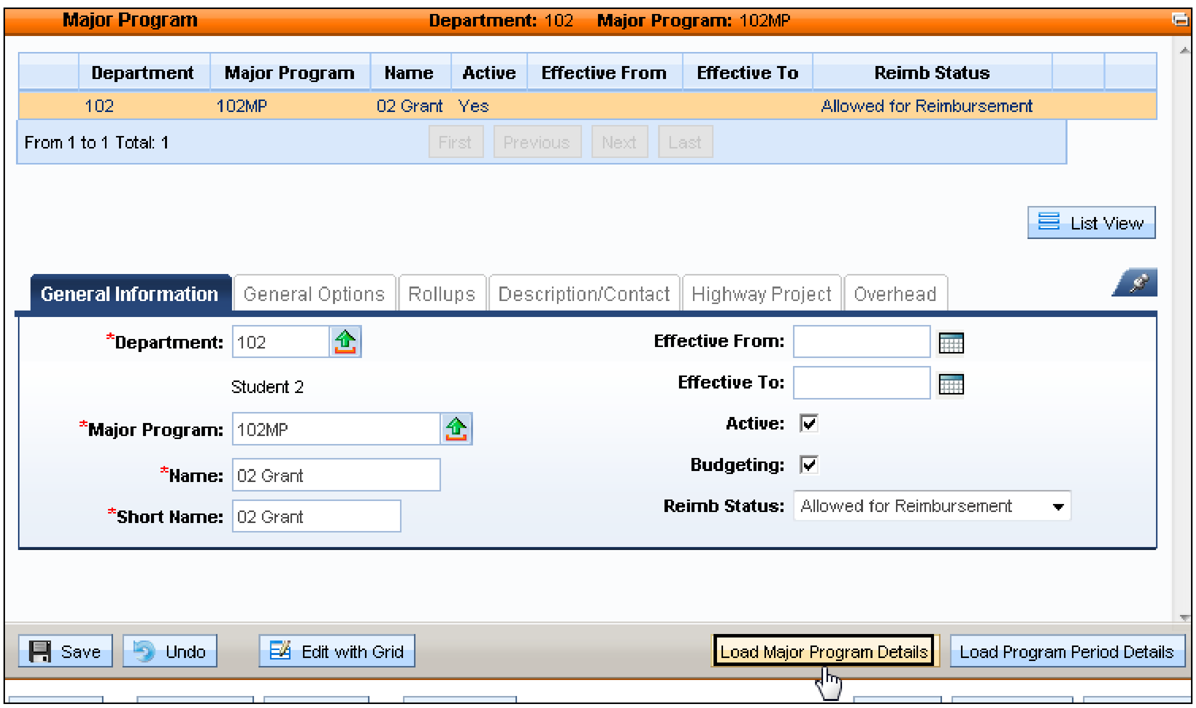
7. Click the **Extended Description** tab.
8. In the **Extended Description** field, enter ***Modifications to AZ Health Improvement Grant***.



> ***Note**: The fields in the Header component are optional unless required by department procedure.*

D. Complete the General Information tab in the Major Program component of the CAM to identify the Major Program to be updated, then update fields in the Overhead tab.

1. On the Document Navigator, click **Major Program**.
2. In the **Department** field, enter ***the data from your student data card***.
3. In the **Major Program** field, enter the Major Program code created in Activity 5.5 (XXXMP where XXX represents the department from your student data card).
4. Click **Load Major Program Details**. Notice the fields in the Major Program component are populated with data from MJPRG.

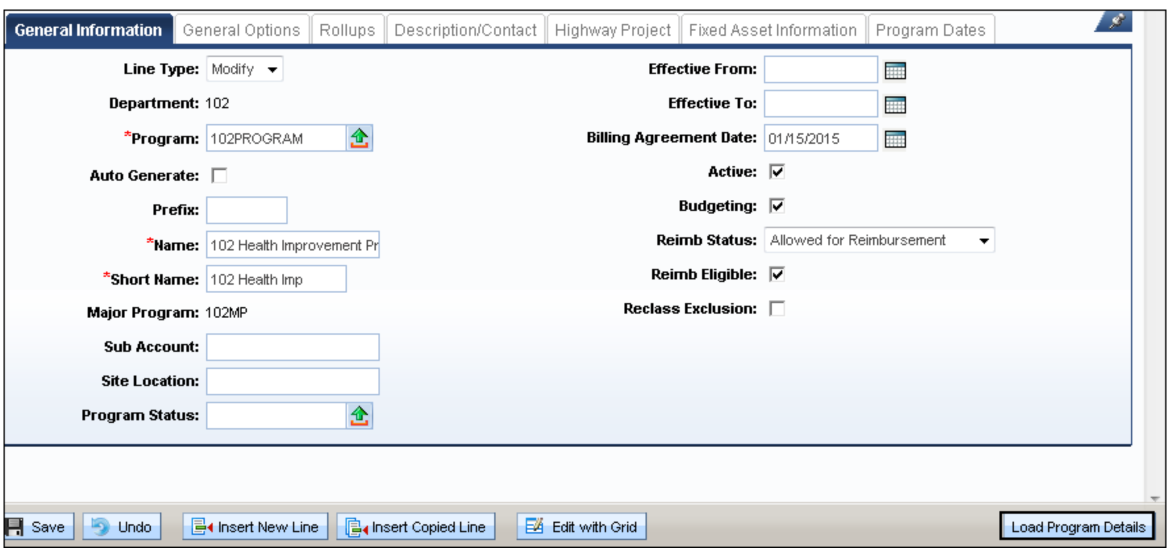


5. Click the **Overhead** tab.
6. Check the **Overhead Eligible** check box.
7. In the **Overhead Default Rate** field, enter ***20***.
8. Click **Save**. Notice the Overhead Default Rate value is extended to three decimal places.

E. Update the Billing Agreement Date field in your existing Program record.

1. On the Document Navigator, click **Program**.
2. Click the **Insert New Line** button.
3. From the **Line Type** drop down list, select **Modify**.

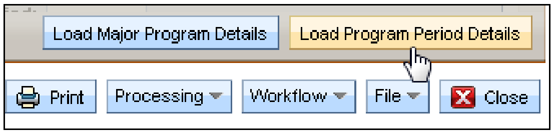
4. From the **Program** pick list, select the Program code you noted in Activity 5.5.
5. Click **Load Program Details**. Notice the fields in the Program component are populated with data from PROG.
6. In the **Billing Agreement Date** field, remove the date you had entered previously, and change it to the 15th of the previous month.
7. Click **Save**.



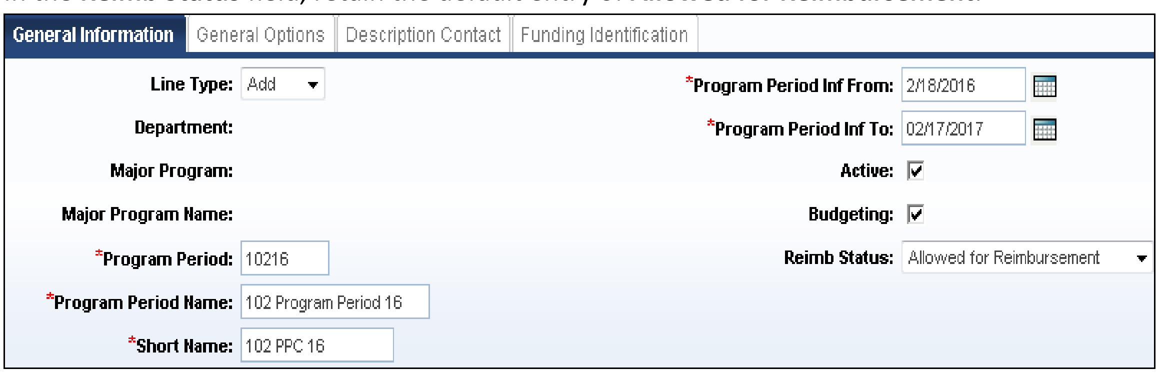
F. Create a new Program Period for your Major Program.

1. On the Document Navigator, click **Program Period**. Notice that the grid in this component is empty.
2. On the Document Navigator, click **Major Program**.

3. Click **Load Program Period Details**.



4. On the Document Navigator, click **Program Period**. Notice the grid is populated with the Program Period you created in Activity 5.5.
5. Click **Insert New Line**.
6. In the **Line Type** field, retain the default entry of **Add**.
7. In the **Program Period** field, enter ***XXX16*** where XXX represents the department from your student data card.
8. In the **Program Period Name** field, enter ***XXX Program Period 16*** where XXX represents the department from your student data card.
9. In the **Short Name** field, enter ***XXX PPC 16*** where XXX represents the department from your student data card.
10. In the **Program Period Inf From** field, enter a date one year plus one day from today's date (one day following the end of the existing Program Period) , in the format MM/DD/YYYY.
11. In the **Program Period Inf To** field, enter a date two years from today's date, in the format MM/DD/YYYY.
12. The **Active** and **Budgeting** check boxes will remain checked.
13. In the **Reimb Status** field, retain the default entry of **Allowed for Reimbursement**.

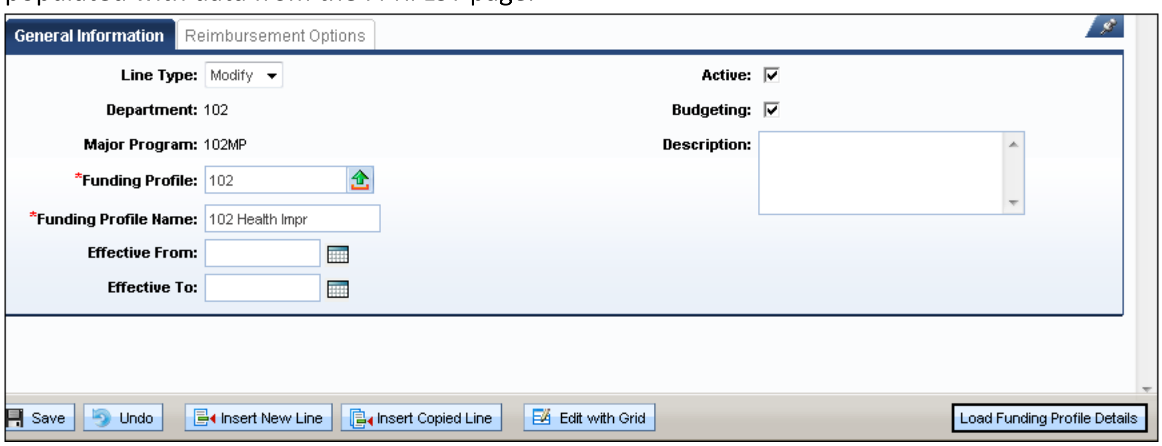


G. Complete the Funding Identification tab of the new Program Period component.

1. Click the **Funding Identification** tab.
2. From the **Federal Catalog Agency** pick list, select **DCAP**. The **Federal Catalog Prefix** field will be auto populated based on this selection.
3. From the **Federal Catalog Suffix** pick list, select **055**.
4. Leave the **Federal Appropriation No** field blank.
5. The remaining fields are optional and will remain blank for this scenario.
6. Click **Save**.

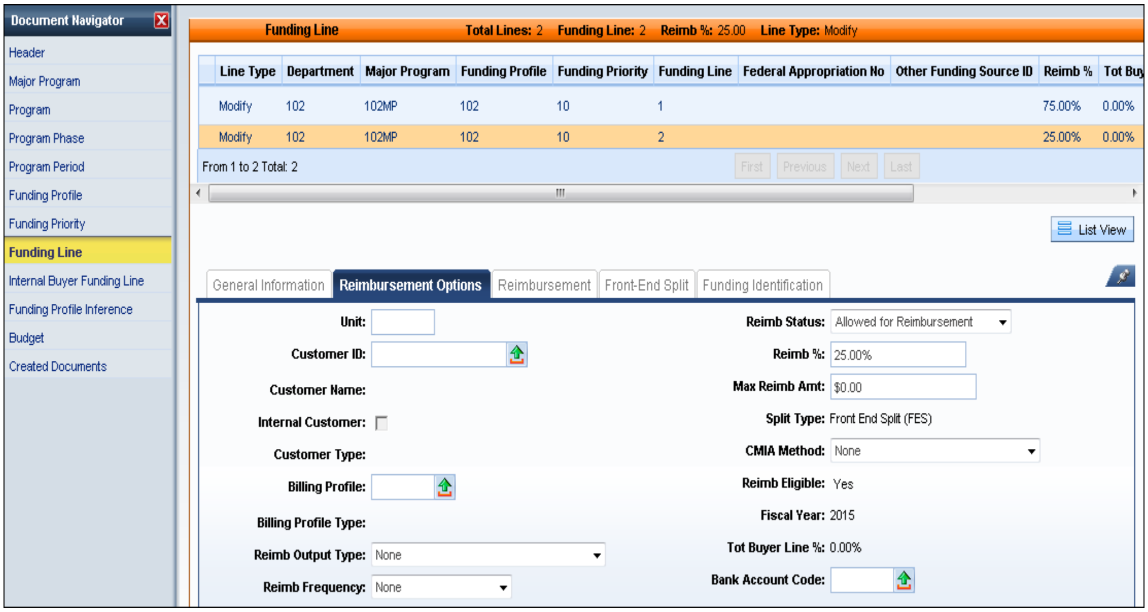
H. Modify the Funding Lines for your eligible Funding Profile from a 50/50 split to a 75/25 split.

1. On the Document Navigator, click **Funding Profile**.
2. Click the **Insert New Line** button.
3. From the **Line Type** drop down list, select **Modify**.
4. From the **Funding Profile** pick list, select ***XXX*** where XXX represents the department from your student data card.
5. Click **Load Funding Profile Details**. Notice the fields in the Funding Profile component are populated with data from the FPRFLST page.



6. On the Document Navigator, click **Funding Line**. Notice the two Funding Lines you created in Activity 5.5 are displayed in the grid.
7. With Funding Line 1 highlighted in the grid, click the **Reimbursement Options** tab.
8. In the **Reimb %** field, delete 50.00%.
9. In the **Reimb %** field, enter ***75***.
10. In the Funding Line grid, select **Funding Line 2**.
11. In the **Reimb %** field, delete 50.00%.
12. In the **Reimb %** field, enter ***25***.

13. Click **Save**.



I. Validate and submit the CAM document, then click Close, and return to the Home Page.

1. Click the **Validate** button to check for errors. If any errors exist, correct the errors and click the **Validate** button again. If the validation is successful, the following message displays in the upper left corner of the screen: "Document validated successfully."
2. Click the **Submit** button to submit the document for approval after all errors are resolved. If the submission is successful, the following message displays in the upper left corner: "Document submitted successfully."
3. Click **Close** on the CAM document.
4. Click **Home** on the Primary Navigation Panel to return to the Home Page.

6.5. Researching a CAM Document

This topic reviews the tables that are updated by CAM documents, the created budget document, and budget status of the new cost structure.

Major Program Reference Tables

When submitted to Final Phase, the CAM document updates all of the reference tables represented by the CAM document components (Major Program, Program, Program Phase, etc.).

ACTIVITY 6.5
View CAM-Generated Records on Reference Tables

Scenario
The CAM document has been submitted to Final Phase. Navigate to each of the associated reference tables to view the records created from or modified by the CAM.

Setup
- ✓ User is logged in to the AFIS Home Page.
- ✓ The CAM document in Activity 6.4 has been submitted to Final Phase.

Steps
A. Navigate to the Major Program page and view the changes made to your Major Program record.

1. In the **Jump to** field, enter ***MJPRG***.
2. Click **Go**. The MJPRG page is displayed.

B. Search for and view your Major Program record.

1. Click **Search**. A search window is displayed.
2. In the **Name** field, enter ***XX Grant*** where XX represents the student number from your student data card.
3. Click **Ok**. Your Major Program record is displayed.
4. Click the **Overhead** component. Notice the **Overhead Eligible** check box is checked and the **Overhead Default Rate** is 20%.

C. Search for and view the changes to your Program record.

1. In the **Jump to** field, enter ***PROG***.
2. Click **Go**. The PROG page is displayed.
3. Click **Search**. A search window is displayed.
4. In the **Program** field, enter ***XXXProgram*** where XXX represents the department from your student data card.
5. Click **Ok**. Your Program record is displayed.
6. Notice the updated **Billing Agreement Date** field.

D. Search for and view your new Program Period record.

1. In the **Jump to** field, enter ***PPC***.
2. Click **Go**. The PPC page is displayed.
3. Click **Search**. A search window is displayed.
4. In the **Program Period** field, enter ***XXX16*** where XXX represents the department from your student data card.
5. Click **Ok**. Your new Program Period record is displayed.
6. Review the data populated on PPC from the CAM document.

E. Search for and review the changes made to your Funding Profile record, then return to the Home Page.

1. In the **Jump to** field, enter ***FPRFLST***.
2. Click **Go**. The Funding Profile Select page is displayed.
3. In the **Funding Profile** field, enter ***XXX*** where XXX represents the department from your student data card.
4. Click **Browse**. Your Funding Profile record is displayed in the grid.
5. Click the **View Funding Profile** link. The Funding Profile Summary is displayed.
6. On the Secondary Navigation Panel, click **Funding Line**.
7. With Funding Line 1 highlighted in the grid, click the **Reimbursement Options** tab.
8. Notice the **Reimb %** field is now **75.00%**.
9. Click Funding Line **2** in the grid to select it.
10. Notice the **Reimb %** field is now **25.00%**.
11. On the Secondary Navigation Panel, click **Close** to close the Funding Profile record.
12. Click **Home** on the Primary Navigation Panel to return to the Home Page.

Lesson Summary

In this lesson, you:

- Created a Cost Accounting Modification (CAM) document to modify existing entries on the Major Program, Program, and Funding Line; and add a new cost structure elements such as Program Period
- Viewed the changes made to records on Major Program reference tables as a result of the CAM document

Check Your Progress

1. The CAM document can modify entries on some of the Major Program reference tables, but the CAS cannot.

   a. True
   b. False

2. The CAM document can be used to ________________________.

   a. Add a record on MJPRG
   b. Delete a record on MJPRG
   c. Modify a record on PHASE
   d. Modify a record on PROG
   e. All of the above

3. The CAM document can be used to add entries to the FPI2, FPI5 and GFPI pages, but not any other funding profile inference pages.
    a. True
    b. False

7. Expending Program Funds

Learning Objectives

In this lesson, you will:

- Identify the Detail Accounting tab of an expenditure document as the location that Chart of Accounts elements associated with cost accounting are entered in AFIS
- Create a General Accounting Expense (GAX) document to expend grant funds
- Review the impact of expenditures on the grant budget inquiry pages
- Identify ways to prevent and correct data entry errors

Lesson Overview

You have established a grant in the cost structure, established a reimbursement and program budget for the grant, and viewed the budget status of a grant using the budget inquiry pages. This lesson explains how expenditures are associated with a grant or project in AFIS.

7.1. Recording a Non-Commodity Based Payment in AFIS

Most procurement transactions originate in ProcureAZ and are interfaced to AFIS, but some expenditures for services are processed for payment in AFIS. Both types of transactions are associated to a project or grant by populating the appropriate fields in the Detail Accounting tab, on the Accounting Line of the document. This lesson will focus on a non-commodity based payment created in AFIS, but the concepts also apply to transactions that originate in ProcureAZ.

Recording a non-commodity based payment in AFIS consists of the following two steps:

- Requesting payment for the service
- Disbursing payment to the vendor for the service

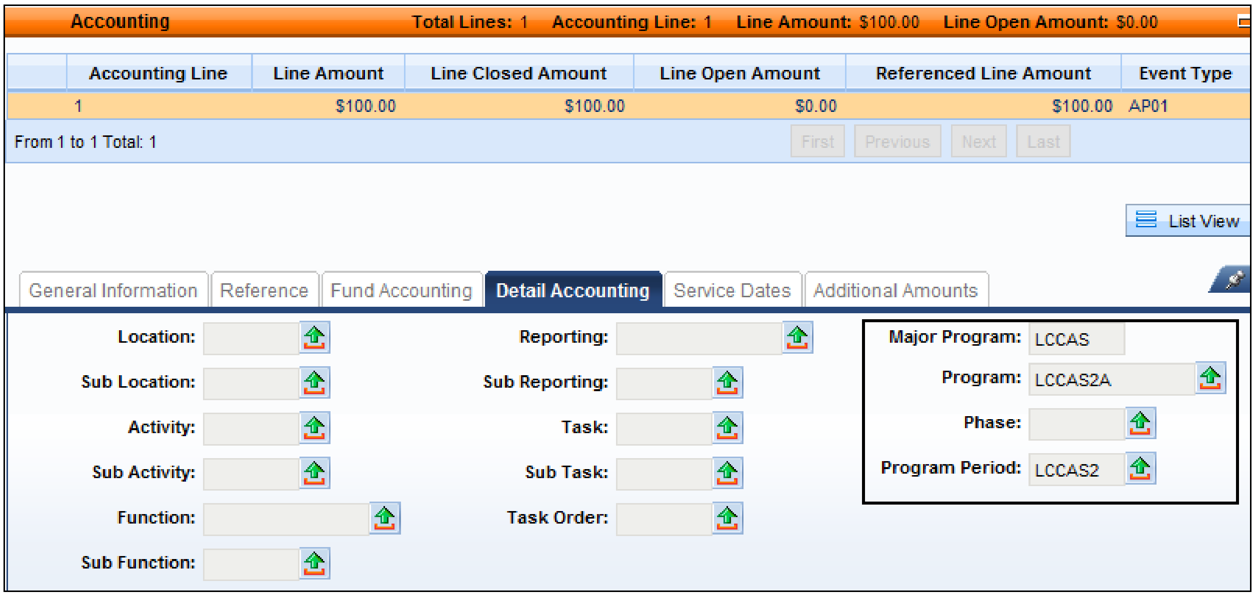
Only the first step is addressed in this topic.

Once an initial transaction is established in AFIS, the Chart of Accounts elements are copied to the subsequent documents in the business process without additional data entry. This is accomplished by using the Copy Forward feature. For example, once a General Accounting Expense (GAX) document is created in AFIS, the Chart of Accounts elements coded on the GAX document are copied forward to the Automated or Manual Disbursement (AD or MD) document.

Associating a Financial Transaction with a Grant or Project

In the Getting Started with Arizona Advantage course, you reviewed how to create and process documents. A document is the method by which a financial transaction is recorded in AFIS.

Within each financial document, there is an Accounting component, and within that Accounting component there is at least one Accounting line. Each Accounting line contains a Fund Accounting tab and a Detail Accounting tab used to identify the Chart of Accounts elements to be associated with that financial transaction. It is on the Detail Accounting tab of financial documents that the cost accounting Chart of Accounts elements are entered to associate the financial transaction with the appropriate project or grant.



Detail Accounting Tab

The Program field is the primary field used to associate an expenditure transaction with the grant or project's cost structure. The Major Program field is auto populated based on the Program.

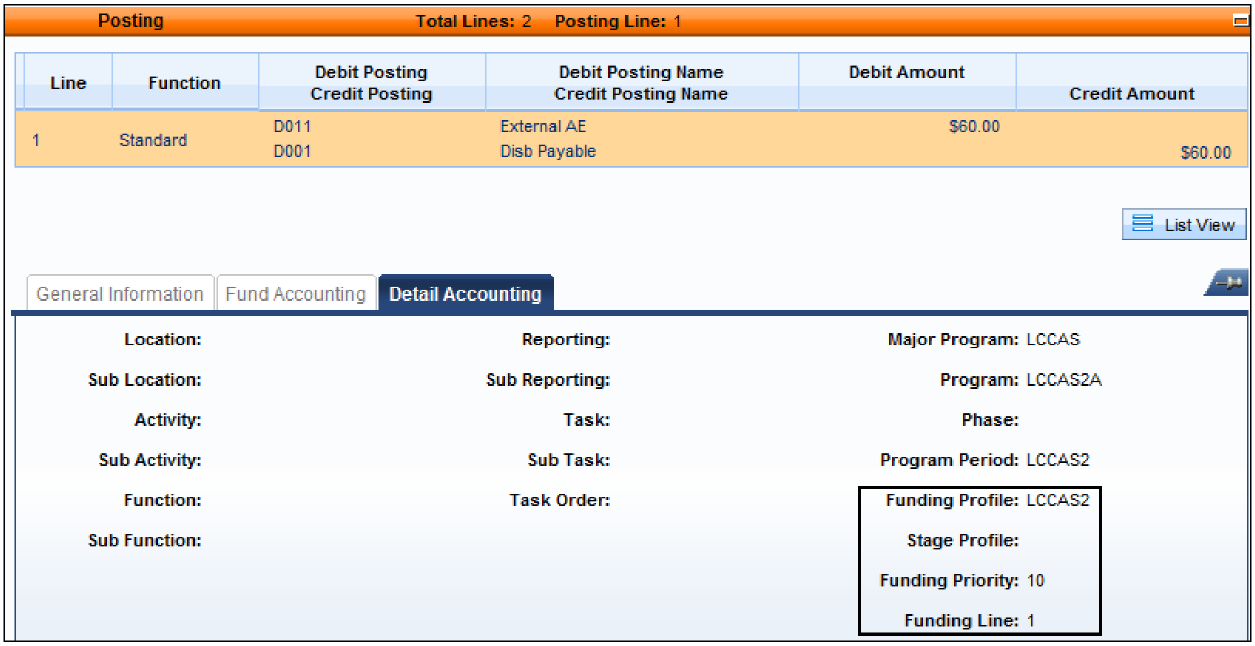
For projects, the Phase is selected from the pick list to identify the project Phase the expenditure is associated with.

For grants and projects, the Program Period will be inferred but can be manully adjusted.

The Activity, Sub Activity, Location, Sub Location, Function, and Sub Function fields may be populated if required by department procedure.

Recording Funding Splits

Many times grant and project expenditures are funded by two or more sources. This is called a funding split. A common scenario for a Federally-funded grant or project is a funding split that is 80% Federally-funded with a 20% State Match. The details of the funding split are recorded on the Funding Profile hierarchy, but the Funding Profile, Funding Priority(s), and Funding Line(s) are not entered on the document accounting line. Instead, they are inferred on the document's posting line, based upon the entry made in the appropriate funding profile inference page.



7.2. View the Impact of the Front End Split on GAX Posting Lines

When a GAX document that contains a Major Program code on the Detail Accounting tab is validated, AFIS automatically evaluates the settings on the MJPRG record. If the Split Type is Front End Split, AFIS searches the funding profile inference pages for a Funding Profile to infer. Then, posting lines are generated to reflect the funding agreement details entered on the Funding Lines.

In the grant structure created by the CAS and CAM documents, the AZ Health Improvement Grant is funded by a 75/25 split between Federal and State funding. Therefore, for each Accounting Line on the GAX, two posting lines are created: one posting line for the 75% Federal funding, and one posting line for the 25% State funding.

ACTIVITY 7.2

Create a GAX and View the Impact of Front End Split on Posting Lines

Scenario

Create a GAX document to request payment a payment of $10,000 for professional services related to the AZ Health Improvement Grant. Submit to Final Phase and view the posting lines to view the impact of the front end split and funding profile inference.

Setup

- ✓ User is logged in to the AFIS Home Page.
- ✓ The Major Program, Program, Program Period, Funding Profile hierarchies, funding profile inferences, and initial budget lines for the AZ Health Improvement Grant have been established.

Steps

A. Create a GAX document using the Document Catalog.

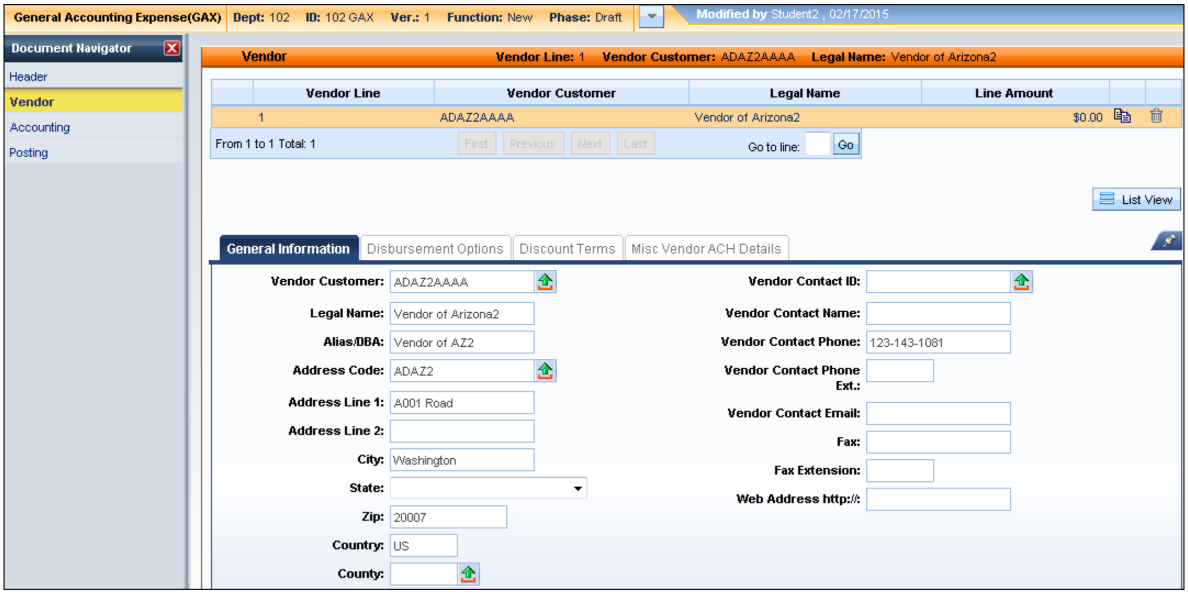
1. On the Secondary Navigation Panel, click **Search.**
2. Click **Document Catalog**.
3. Click **Create** to switch to Create mode.
4. In the **Code** field, enter ***GAX*.**
5. In the **Dept** field, enter ***the data from your student data card*.**
6. In the **ID** field, enter ***XXX GAX*** where XXX represents the department from your student data card.
7. Click **Create**. The GAX opens and the Header component is displayed.

B. Complete the Header component of the GAX.

1. When the GAX document is created, notice that the document is shown as Ver: 1, Function: New, Phase: Draft.
2. To navigate within a document, you can either click the component name at the bottom of the document, or use the Document Navigator panel. In this training, you will use the Document Navigator. If necessary, click the **Open Document Navigator** icon (small arrow on left side) to switch to Document Navigator mode.
3. On the Header, in the **Document Name** field, enter ***XXX*** where XXX represents the department from your student data card.
4. The **Record Date, Fiscal Year**, and **Period** fields will be auto populated when you validate or submit the GAX document.
5. In the **Document Description** field, enter ***XXX*** where XXX represents the department from your student data card.

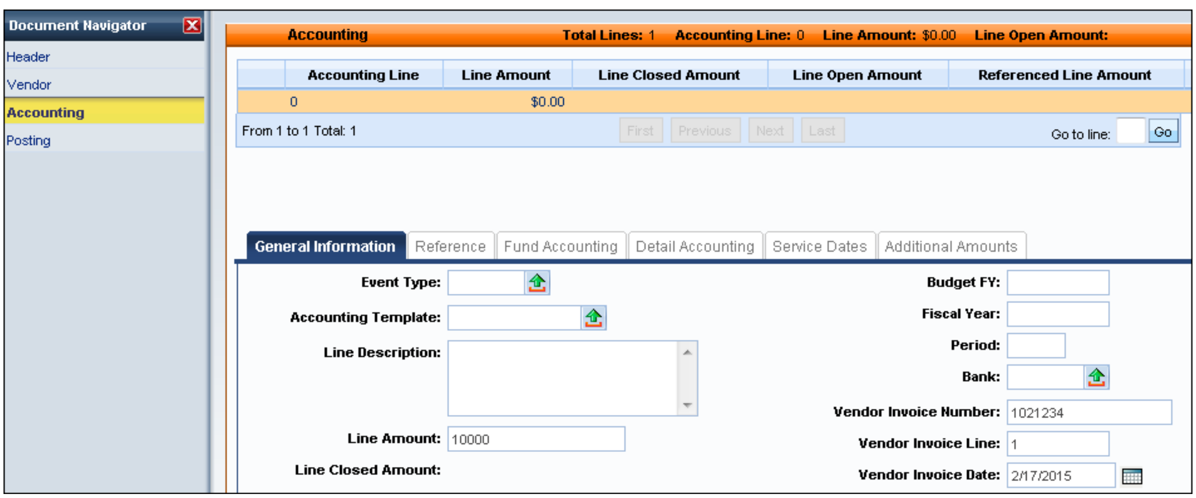
Note*: The fields in the Header component are optional unless required by department procedure.*

C. Complete the Vendor component of the GAX document.



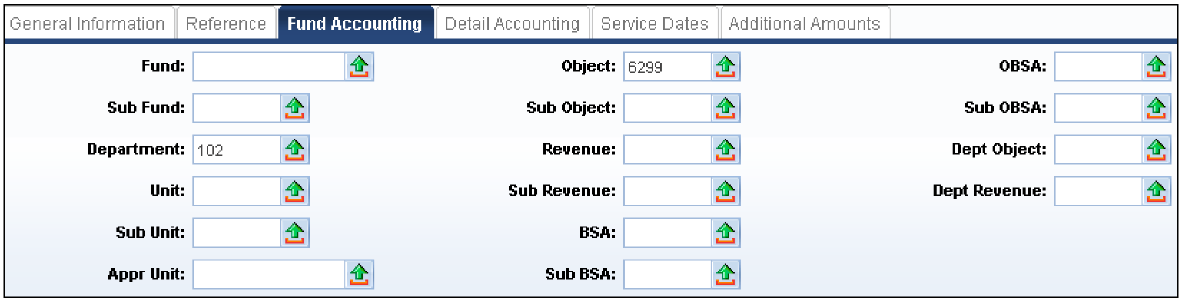
1. On the Document Navigator, click **Vendor**.
2. Click **Insert New Line**.
3. In the **Vendor Customer** field, enter ***ADAZ2AAAA***.
4. Click **Save**. Notice the fields in the Vendor component of the GAX document are auto populated from the Vendor Customer (VCUST) page.

D. Complete the General Information tab of the Accounting component to encumber $10,000 for services related to the AZ Health Improvement Grant.



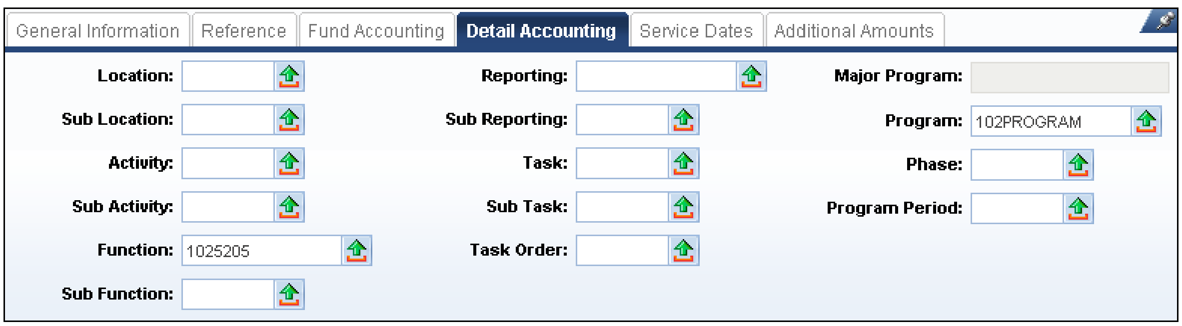
1. On the Document Navigator, click **Accounting**.
2. Click **Insert New Line**. The fields in the General Information tab are available for data entry.
3. In the **Line Amount** field, enter ***10000***.
4. In the **Vendor Invoice Number** field, enter ***XXX1234*** where XXX represents the department from your student data card.
5. In the **Vendor Invoice Line** field, enter ***1***.
6. In the **Vendor Invoice Date** field, click the **Show Calendar** icon and select today's date.

E. Complete the Fund Accounting tab of the Accounting component.



1. Click the **Fund Accounting** tab.
2. In the **Dept** field, enter ***the data from your student data card***.
3. In the **Object** field, enter ***6299***.

F. Complete the Detail Accounting tab of the Accounting component.



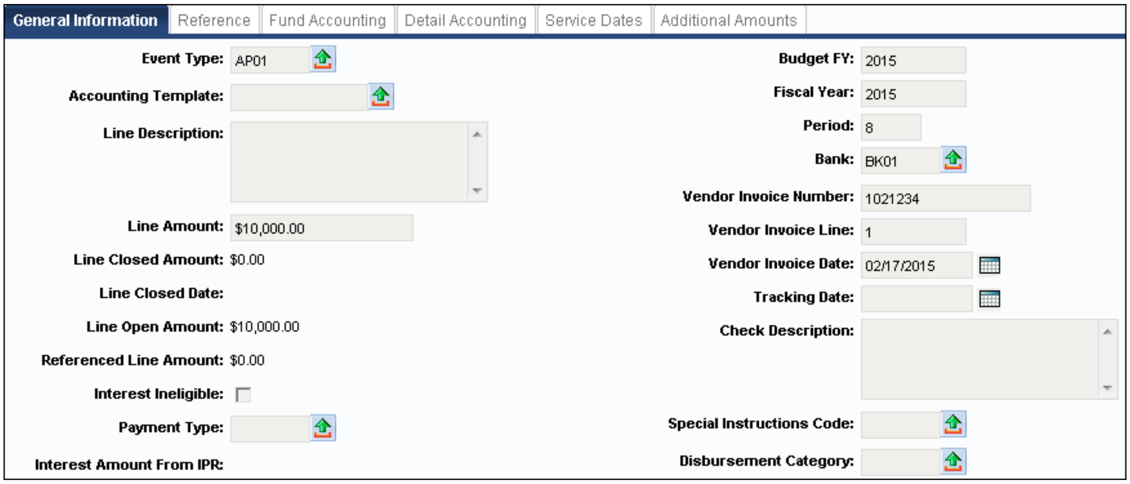
1. Click the **Detail Accounting** tab.
2. In the **Function** field, enter ***the data from your student data card***.
3. In the **Program** field, enter the Program code you created in Activity 5.5.
4. Click **Save**.

G. Validate and submit the GAX document.

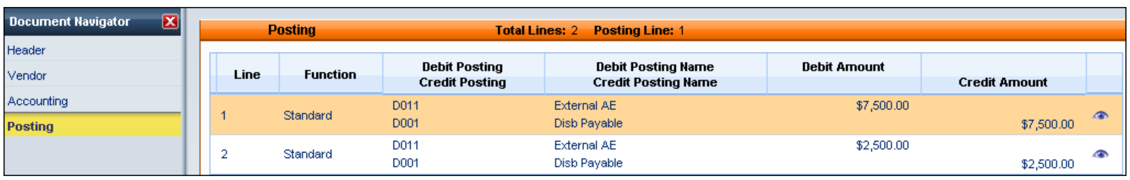
1. Click the **Validate** button to check for errors. If any errors exist, correct the errors and click the **Validate** button again. If the validation is successful, the following message displays in the upper left corner of the screen: "Document validated successfully."
2. Click the **Submit** button to submit the document for approval after all errors are resolved. If the submission is successful, the following message displays in the upper left corner: "Document submitted successfully."

H. View the GAX Accounting Line and Posting Lines, then click Close and return to the Home Page.

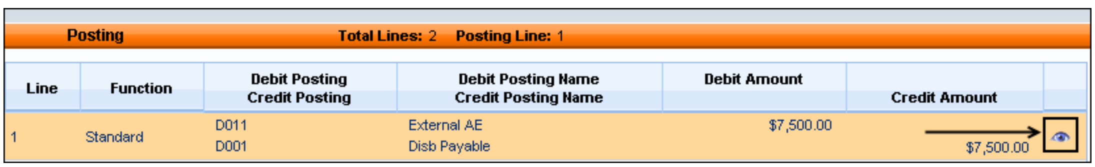
1. Click the **General Information** tab in the Accounting component**.** Notice the Event Type AP01, Budget FY, Fiscal Year, Period, and other fields have been inferred.



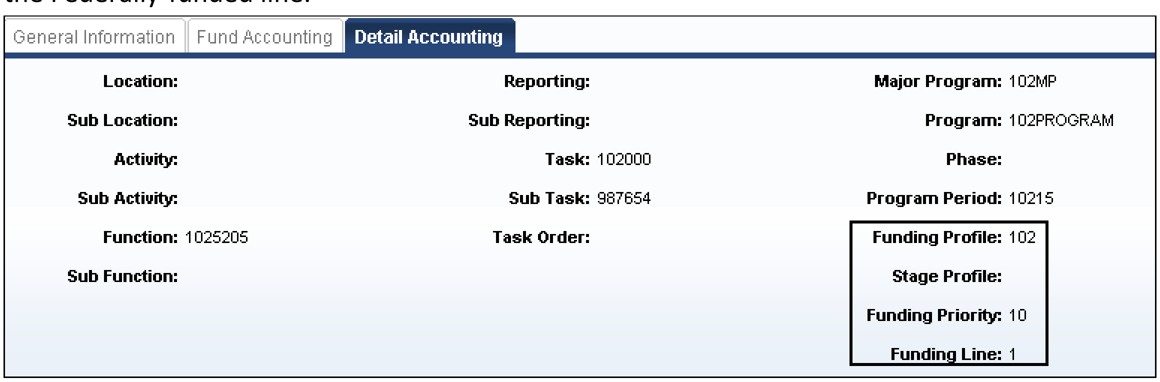
2. On the Document Navigator, click **Posting**.
3. Notice the two Posting lines: based on the inferred Funding Profile, AFIS has created one Federally-funded posting line for $7,500 and one State-funded posting line for $2,500.



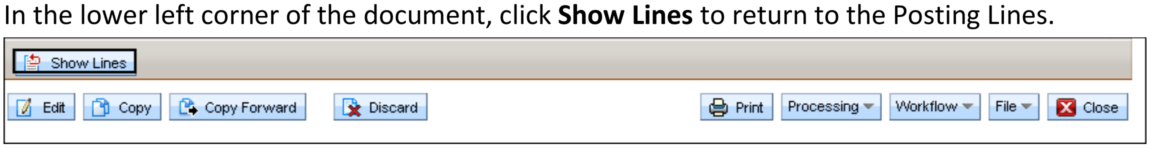
4. Click the **Show Details** (eye) icon for the first posting line. The details are displayed.



5. From this posting line detail page, click the **Detail Accounting** tab. Notice the Funding Profile, Funding Priority, and Funding Line fields are populated; and Funding Line 1 has been inferred for the Federally-funded line.



6. In the lower left corner of the document, click **Show Lines** to return to the Posting Lines.



7. In the **Posting** grid, select Posting Line **2**.

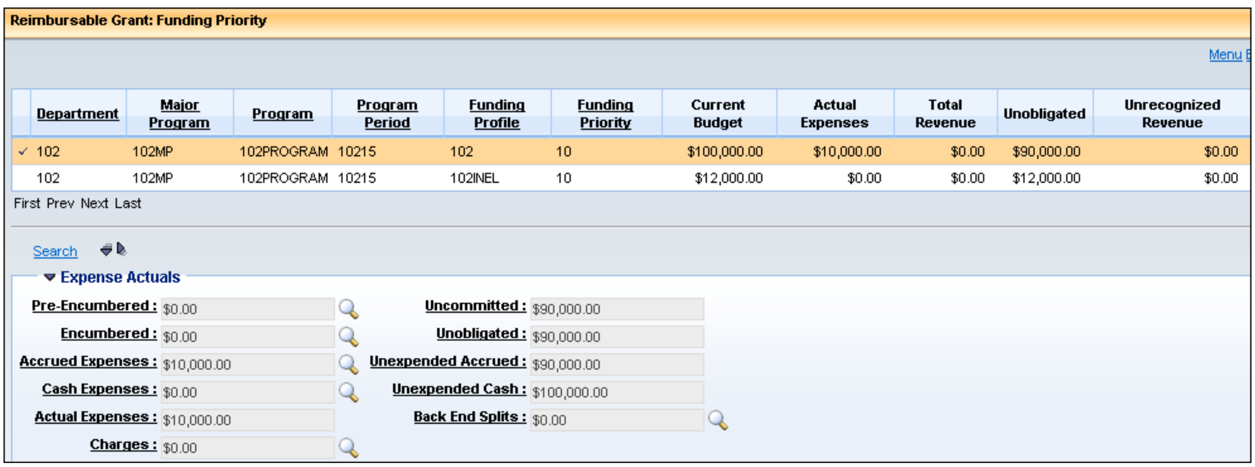
8. Click the **Show Details** (eye) icon for the second posting line. Notice Funding Line 2 has been inferred for the State-funded line.
9. Click **Close** to close the GAX document.
10. Click **Home** on the Primary Navigation Panel to return to the Home Page.

7.3. Review the Status of a Cost Accounting Budget

Previously, you saw how project and grant budgets are displayed on the budget inquiry pages. The Expense Actuals component of the budget inquiry page displays expenditure activity throughout the lifecycle of the project or grant.

Expense Actuals

The Expense Actuals component on the budget inquiry page displays expenditure transactions. In addition, AFIS calculates and displays the impact on the remaining budget in the Uncommitted, Unobligated, Unexpended Accrued, and Unexpended Cash fields.


Reimbursable Grant: Funding Priority

Menu

Department	Major Program	Program	Program Period	Funding Profile	Funding Priority	Current Budget	Actual Expenses	Total Revenue	Unobligated	Unrecognized Revenue
✓ 102	102MP	102PROGRAM	10215	102	10	$100,000.00	$10,000.00	$0.00	$90,000.00	$0.00
102	102MP	102PROGRAM	10215	102INEL	10	$12,000.00	$0.00	$0.00	$12,000.00	$0.00

First Prev Next Last

Search

Expense Actuals

Pre-Encumbered:	$0.00	Uncommitted:	$90,000.00
Encumbered:	$0.00	Unobligated:	$90,000.00
Accrued Expenses:	$10,000.00	Unexpended Accrued:	$90,000.00
Cash Expenses:	$0.00	Unexpended Cash:	$100,000.00
Actual Expenses:	$10,000.00	Back End Splits:	$0.00
Charges:	$0.00		

Now, return to the budget inquiry pages to see how expenditure transactions are displayed.

ACTIVITY 7.3

Review the Status of a Cost Accounting Budget

Scenario

Navigate to the budget inquiry pages to view the impact of the GAX document.

Setup

- ✓ User is logged in to the AFIS Home Page.
- ✓ The Major Program, Program, Phase, Funding Profile hierarchies, funding profile inferences, and initial budget lines for the AZ Health Improvement Grant have been established.
- ✓ A GAX document for professional services has been submitted to Final Phase.

Steps

A. Navigate to the Budget Structure 39 Level One Budget Inquiry page.

1. In the **Jump to** field, enter ***BQ39LV1***.
2. Click **Go**.
3. Click the **Search** link. The Search window is displayed.
4. In the **Dept** field, enter ***the data from your student data card***.
5. In the **Program** field, enter the Program code you created in Activity 5.5.
6. In the **Funding Profile** field, enter ***XXX*** where XXX represents the department from your student data card.
7. Click **Ok**. The Reimbursable Grant: Funding Priority page is displayed.

B. Review the expense actuals for the AZ Health Improvement Grant in the Expense Actuals component.

1. Notice **$10,000** in the **Accrued Expenses and Actual Expenses** fields due to the Procure to Pay activities. Expenditures will update the Cash Expenses field when a disbursement document for the transaction is processed to Final Phase.

Expense Actuals

Pre-Encumbered :	$0.00	Uncommitted :	$90,000.00
Encumbered :	$0.00	Unobligated :	$90,000.00
Accrued Expenses :	$10,000.00	Unexpended Accrued :	$90,000.00
Cash Expenses :	$0.00	Unexpended Cash :	$100,000.00
Actual Expenses :	$10,000.00	Back End Splits :	$0.00
Charges :	$0.00		

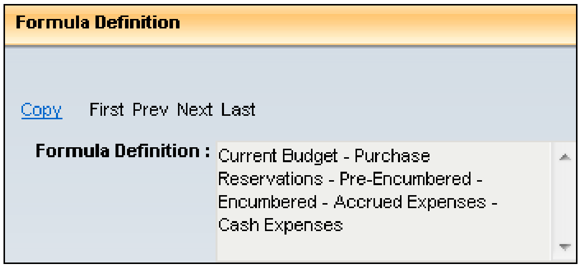
2. Click the **Magnifying Glass** icon to the right of the **Accrued Expenses** field to drill down to the **Detailed Transaction Listing.** Notice there are two lines displayed for the same document due to the two Funding Lines for this transaction.

Detailed Transaction Listing

	Doc Code	Doc Dept	Doc ID	Document Identifier	Accrued Expenses
✓	GAX	102	102 GAX	GAX 102 102 GAX	$2,500.00
	GAX	102	102 GAX	GAX 102 102 GAX	$7,500.00

3. Click the **Document Identifier** link to navigate to the GAX document that created the Accrued Expense. The GAX document is displayed.
4. Click the **Close** button on the GAX to return to the **Detailed Transaction Listing**.
5. Click **OK** to return the BQ39LV1 page.
6. Notice the system generated values in the Uncommitted, Unobligated, Unexpended Accrued, and Unexpended Cash fields.

7. Click the **Uncommitted** field label to view the Formula Definition that is generating the value in the field.



8. Click **OK** to return to the budget inquiry page.

C. View Level Two of Budget Structure 39, then return to the Home Page.

1. From the BQ39LV1 page, click the **Program Period Budget** link to view the **Reimbursable Grant: Funding Line** page for the budget structure.
2. Notice the **Accrued Expenses** and **Actual Expenses** fields display **$7,500** to reflect the 75% Federal share of the expenditure.
3. In the summary grid, click the line for Funding Line **2** to view the values in the **Accrued Expenses** and **Actual Expenses** fields for the State share of the expenditure.
4. To return to the Home Page, click **Home** in the Primary Navigation Panel.

> ***Note**: You may navigate to the program budget inquiry pages to view the impact of the expenditure transactions.*

7.4. Prevention of and Correction of Errors

Data entry errors for cost accounting activities may occur at any point during the lifecycle of a project or grant. The steps necessary to correct errors will depend upon the error: what data was entered incorrectly; at what point in the lifecycle the error is discovered; and the details of the funding agreement with the Federal agency for each specific project.

Accounting Templates and Function Codes

The use of accounting templates and function codes simplifies data entry for the user by establishing most of the correct Chart of Accounts elements to use for a specific type of project or grant expenditure. For example, an accounting template or function code may be established for each project, containing the proper Fund Accounting elements, as well as the proper Program and Phase elements for a project expenditure. Then, when the user selects the appropriate Accounting Template, very few Chart of Accounts elements must be manually entered on the Accounting line. See the Getting Started with Arizona Advantage course for additional information about creating accounting templates and function codes.

AFIS Edits

AFIS cost accounting functionality includes edits that help ensure accurate data entry. For example, error messages will be generated if a user attempts to enter a Phase for a project that has not been established on the Program Phase page. Or, an error will be generated if insufficient budget remains for a project expenditure. The messages will provide information about the data element that triggered the AFIS edit.

Required, Valid, and Invalid Chart of Accounts Tables

AFIS provides several tables that may be used to ensure that the Chart of Accounts elements entered on the Accounting lines are present when required, or either valid or invalid combinations. These tables are optional and may not be used for all cost structures. Available tables are:

- Program Activity Requirement (PRGREQ)
- Unit/Program Required (PROGREQ)
- Valid Unit Program Combination (VUPROG)
- Valid Phase/Event Types (VPHEVNT)
- Invalid Phase/Event Types (IVPHEVNT)

Workflow

Some errors may not trigger an AFIS error message, yet may still be inaccurate for the funding agreement. For example, the incorrect Phase may be selected for an expenditure. Transactions entered on an AFIS document are not complete until the document is approved by all individuals on the workflow for that document; so it is very important for document approvers to carefully review the Chart of Accounts elements on the Fund Accounting and Detail Accounting tabs of a document Accounting line prior to approving the document. If data entry errors have been made, the document can be rejected for correction of the error(s).

Correction of Errors

If an error is identified after the drawdown request has been submitted and the reimbursement deposited by the State, then the steps necessary to correct the error will depend upon the funding agreement with the Grantor: the Federal agency may ask the State to adjust it against the next bill or it may require a refund for the incorrect amount drawn.

Whenever possible, the error will be corrected by creating a modification version of the original, incorrect document. If necessary, a Cost Accounting Journal Voucher (JVC) document will be created to correct the error. If you are correcting a post for a Major Program setup to use front end split, the standard vouchers (JV and JVA) are not available. See the General Accounting Course for detailed information on creation of journal voucher documents.

Lesson Summary

In this lesson, you:

- Identified the Detail Accounting tab of an expenditure document as the location that Chart of Accounts elements associated with cost accounting are entered in AFIS
- Created a General Accounting Expense (GAX) document to expend grant funds
- Reviewed the impact of expenditures on the grant budget inquiry pages
- Identified ways to prevent and correct data entry errors

Check Your Progress

1. The _____________ document can be created to request payment for a non-commodity based transaction in AFIS.

   a. GAX

   b. AD

   c. MD

2. The Program code is entered or inferred on the ___________ of the ___________ to associate an expenditure with the appropriate project.

   a. Fund Accounting tab; Accounting line

   b. Fund Accounting tab; Posting line

   c. Detail Accounting tab; Accounting line

   d. Detail Accounting tab; Posting line

3. The __________ field on a budget inquiry page is updated when a disbursement document (MD or AD) is processed to Final Phase.

   a. Pre-Encumbered

   b. Encumbered

   c. Cash Expenses

4. Data entry errors on the Accounting line of expenditure documents can be prevented by _____________________.

   a. AFIS edits

   b. The use of accounting templates

   c. Review by document approvers

   d. All of the above

8. Record and Track Program Costs

Learning Objectives

In this lesson, you will:

- Create an Internal Costing Usage Transaction (ICT) document
- Review records posted on the Internal Costing Journal (ICJ) page
- Describe the Internal Costing Process
- Create a Charge Transaction (CH) document

Lesson Overview

In some cases, activities must be reimbursed based on established rates or fees rather than the actual cost recorded on a document Accounting line (for example, costs related to work orders). In these cases, fee and rate schedules are established and reimbursement is calculated using those fees or rates. The Internal Costing Usage Transaction (ICT) document is utilized to enter these types of transactions in AFIS.

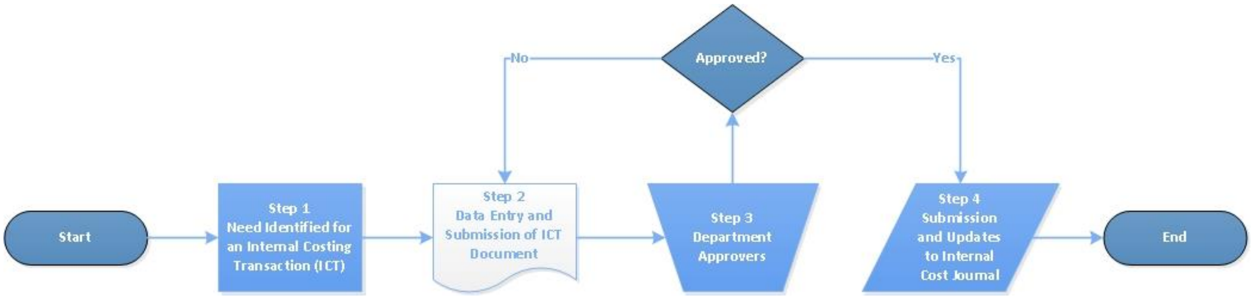
There are additional non-financial costs and revenue credits that are not established on the Internal Costing pages, yet must be charged to a project or grant. The Charge Transaction (CH) document is used to record these transactions.

8.1. State Process Review

The steps below describe the statewide process. Your agency may have additional requirements. This process is referenced in To Be ID PA-TB-003 and represented by Figure 13 below.

1. Managers within each department identify the need to record memo costs within the CGI Advantage application related to labor hours, equipment use, or some other non-financial element to which a rate is applied. This is accomplished through the Internal Costing Usage Transaction (ICT) document.
2. The department is responsible for completing the ICT document. Additional supporting information and/or justification documentation may be attached to the ICT document. Once completed, the document will be validated and submitted, routing it through workflow for approval within the department.
3. The ICT document requires review and approval by the department. Departmental approval will be configured for the individual departments as needed. If a document is rejected, it will be set to a draft state allowing department users to modify or correct the document and resubmit.
4. When final approval has been applied, the ICT document updates the Internal Cost Journal.

Figure 13: Process of Creating an Internal Costing Usage Transaction Document (PA-TB-003)



8.2. Overview of the Internal Cost Process

Internal Costing functionality of AFIS is used to record memo costs (various types of internal, non-expenditure costs), which can then be charged to accounting distributions as usage occurs. Examples of internal costs are calculated labor costs (as compared to actual salary expense), mileage, and hourly equipment rates (with or without an Equipment ID). Each of these has its own behaviors for internal costing.

The Internal Costing Usage Transaction (ICT) document records the units of usage performed for costing. Units of usage can be of any type, but are generally described in terms of the Usage Groups: Labor, Mileage, and Equipment Use (with or without an Equipment ID). The data that is entered on the ICT document is stored on the Internal Costing Journal (ICJ) table after the ICT document is successfully processed to Final Phase. The records from this table are used as the input to the automated Internal Costing Process.

8.3. Internal Costing Usage Transaction Document Components

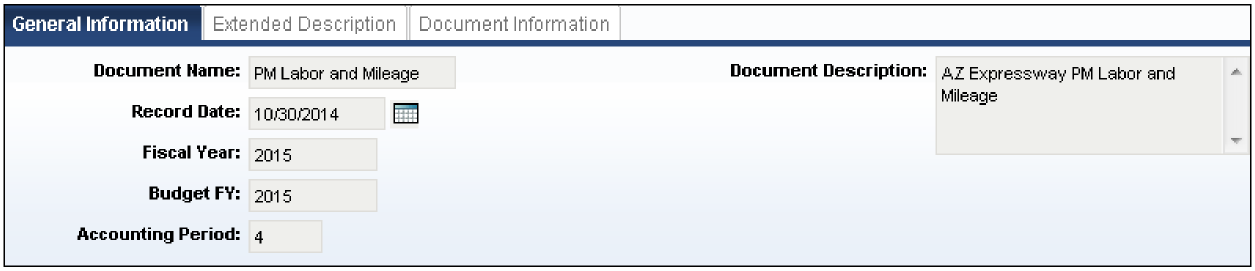
The ICT document has a Header component and an Accounting component.

Internal Costing Usage Transaction Header Component

The Header component records general information about the document. All fields in this component are optional; refer to department procedure for guidance on completing this component.

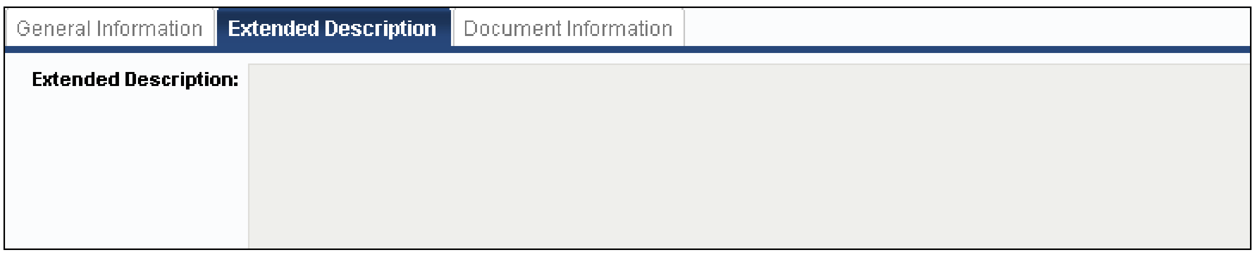
Internal Costing Usage Transaction Header – General Information Tab

The General Information tab contains descriptive fields and date information common to most document headers.



Internal Costing Usage Transaction Header – Extended Description Tab

The Extended Description tab contains one large text field for entering a long description of the document or notes related to the processing of the document.



Internal Costing Usage Transaction Header – Document Information Tab

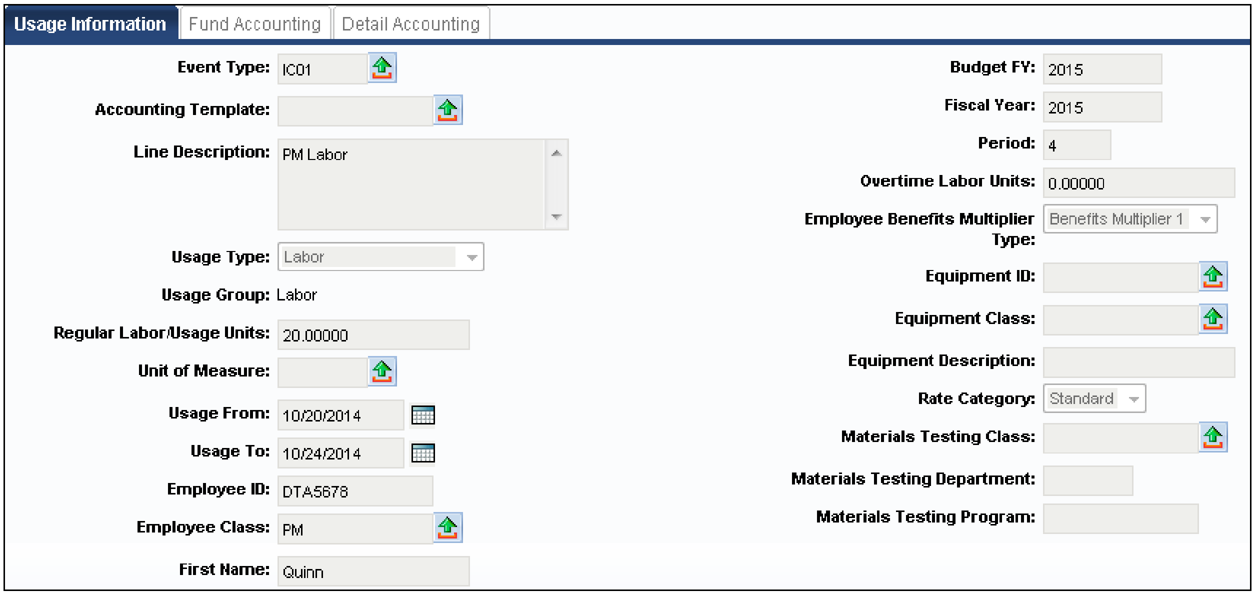
The Document Information tab displays the user ID's and dates for document creation and modification.

Internal Costing Usage Transaction Accounting Component

The Accounting component records costing usage information and the Chart of Account codes that will be charged when the Internal Costing Process occurs.

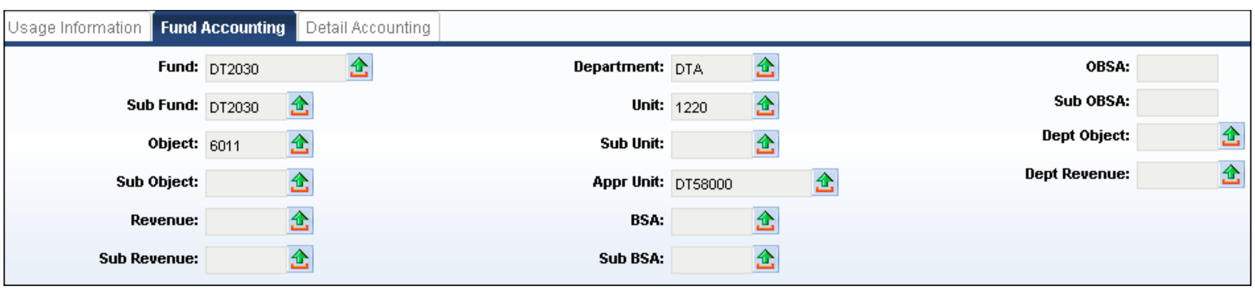
Internal Costing Usage Transaction Accounting – Usage Information Tab

The Usage Information tab identifies the Event Type, Usage Type, Units, Usage Dates, and other data specific to the type of cost being entered.



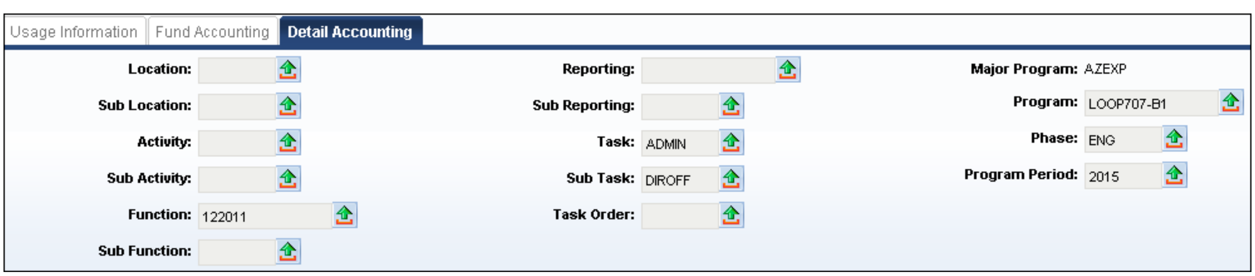
Internal Costing Usage Transaction Accounting – Fund Accounting Tab

The Fund Accounting tab contains Chart of Accounts elements that define the budget structure or account that will be updated by the ICT document.



Internal Costing Usage Transaction Accounting – Detail Accounting Tab

The Detail Accounting tab contains decentralized Chart of Accounts elements that associated the usage charges to a grant or project and other Chart of Accounts elements as appropriate.



8.4. Internal Costing Usage Transaction Data Entry

Each ICT document component requires information and/or verification. This topic describes the data entry requirements for ICT documents. To create an ICT document, use the Document Catalog.

Internal Costing Usage Transaction Header

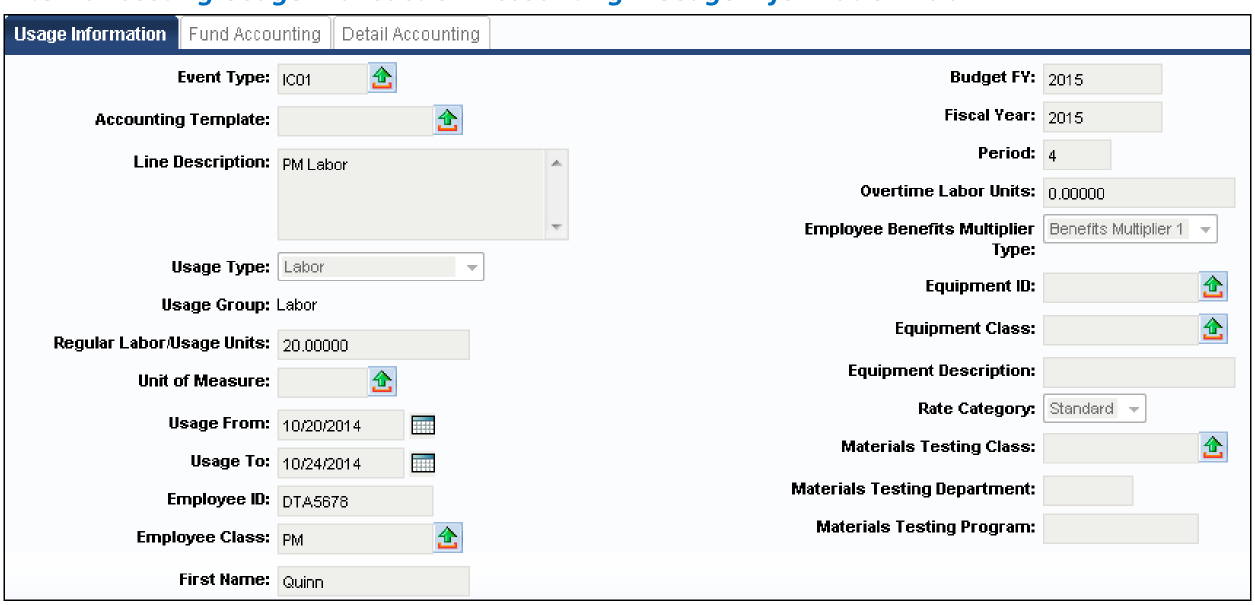
The ICT document opens to the Header component, General Information tab. All fields in this component are optional. Refer to department procedure.

Internal Costing Usage Transaction Accounting

The Accounting component captures all pertinent information about the memo costs recorded on the ICT document.

> ***Note:*** *The rates for labor, equipment, and materials must first be set up on the Internal Cost Rate (INCR) table. Each rate is defined by Fiscal Year, Department, and a corresponding Usage Class. The mileage rate is established on the System Options (SOPT) page.*

Internal Costing Usage Transaction Accounting – Usage Information Tab



Key fields in the Usage Information tab are:

- **Event Type** - The default entry of IC01 will be inferred when the record is saved
- **Usage Type** - Records the type of usage that is being captured: Labor, Mileage, or Equipment (ID Required or ID Optional)

- **Usage Group** - Inferred from the entry in the Usage Type field. The Usage Group drives the edits, updates, and inferences on this document. See Table 5 for the required fields for each Usage Group
- **Regular Labor/Usage Units** - The units of work performed for costing. For example, the number of hours worked or the number of miles driven
- **Usage From** and **Usage To** - The beginning and ending dates for the usage entered on the Accounting line
- **Employee ID, First Name, Last Name** - Identify the employee associated with the internal costs
- **Overtime Labor Units** - Enter the number of overtime hours worked
- **Employee Benefits Multiplier Type** - Used to calculate employee benefits for the Accounting line. Defaults to Benefits Multiplier 1
- **Equipment ID** - Optional field to specifically identify a piece of equipment
- **Equipment Class** - Identifies the type of equipment used
- **Equipment Description** - Inferred from Equipment ID if entered. Must be manually entered if Equipment ID field is blank

***Note**: At this time, the State is not using the Materials Testing Class, Materials Testing Department, and Materials Testing Program fields.*

Table 5 identifies the required and optional fields on the ICT document by the Usage Group.

Table 5: ICT Required Fields by Usage Group

Usage Group	Required Fields	Optional Fields
Labor	Employee ID, Employee Class, First Name, Last Name, Full Name (system generated), Regular Labor/Usage Units, Employee Benefits Multiplier Type	Middle Name, Overtime Labor Units
Mileage	Employee ID, Employee Class, First Name, Last Name, Full Name (system generated)	Middle Name
Equipment (ID Required)	Equipment ID, Equipment Class, Equipment Description, Rate Category	
Equipment (ID Optional)	Equipment Class, Equipment Description, Rate Category	Equipment ID

Modifying the ICT Document

If the transaction entered on the ICT must be changed after the ICT document is processed to Final Phase, there are two options:

- If the transaction has not yet been processed by the automated Internal Costing Process (the Internal Cost Process Date and the Internal Cost Charge Generation Date fields are blank on the ICJ page), then the ICT document can be discarded. The corresponding record on the ICJ page is deleted

- If the Internal Cost Process Date and the Internal Cost Charge Generation Date fields are populated on ICJ page for the transaction, the original ICT document may no longer be modified. Instead, if usage must be corrected, a new ICT record is created for the amount of change (negative amounts are allowed on the ICT) followed by a new entry with the correct codes

Reimbursement for Internal Costing Transactions

The charges generated by Internal Costing may be billed as part of the automated reimbursement process. This reimbursement is different from the revenue postings created by the Internal Costing process:

- Internal Costing will generate revenue for the equipment owner and charge the project that used the equipment for work on a capital project
- The capital project that was charged for equipment use include the usage costs along with other project costs on a drawdown request to the funding source. For these projects, billing for the charges posted from Internal Costing is no different from any other Reimbursement

8.5. Entering an Internal Costing Usage Transaction Document

The ICT document is used to enter memo costs in AFIS related to labor hours, equipment use, or another non-financial element to which a rate is applied.

ACTIVITY 8.5

Create an ICT Document

Scenario

Complete an ICT document to process the internal costs.

Setup

- ✓ User is logged in to the AFIS Home Page.
- ✓ The Major Program, Program, Program Period, and Budget for AZ Expressway Project have been established.
- ✓ Entries for labor and mileage are established on INCR and SOPT.

Steps

A. Create an ICT document from the Document Catalog.

1. On the Secondary Navigation Panel, click **Search**.
2. Click **Document Catalog**.
3. Click **Create** to switch to Create mode.
4. In the **Code** field, enter ***ICT***.
5. In the **Dept** field, enter ***the data from your student data card***.
6. In the **Unit** field, enter ***the data from your student data card***.

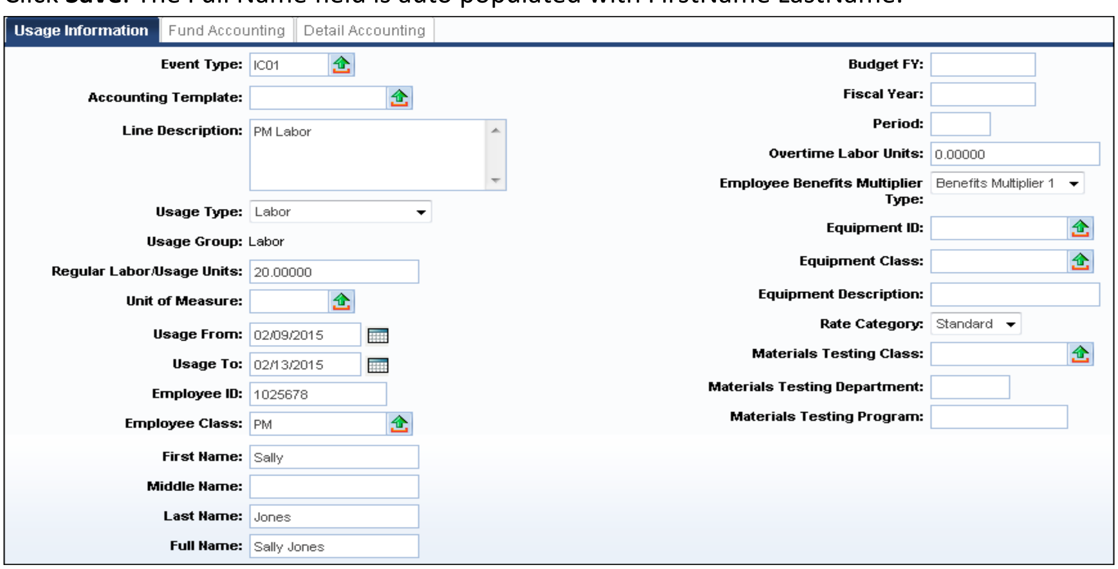
7. In the **ID** field**,** enter ***XXX ICT*** where XXX represent the department from your student data card.
8. Click **Create.** The ICT document opens on Header component.

B. Complete the General Information tab in the Header component of the ICT.

1. When the ICT document is created, a new Document ID is generated. The document is shown as Ver: 1, Function: New, Phase: Draft.
2. In the **Document Name** field, enter ***PM Labor and Mileage***.
3. In the **Document Description** field, enter ***AZ Expressway PM Labor and Mileage***.

C. Complete an Accounting Line for the project manager labor hours for the previous week.

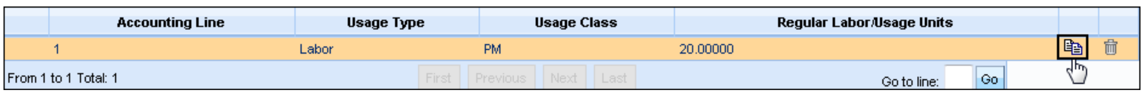
1. To navigate within a document, you can either click the component name at the bottom of the document, or use the Document Navigator panel. In this training, you will use the Document Navigator. If necessary, click the **Open Document Navigator** icon (small arrow on left side) to switch to Document Navigator mode.
2. On the Document Navigator, click **Accounting**.
3. Click **Insert New Line**.
4. In the **Line Description** field, enter ***PM Labor***.
5. From the **Usage Type** drop down list, select **Labor**.
6. In the **Regular Labor/Usage Units** field, enter ***20***.
7. In the **Usage From** field, click the **Show Calendar** icon and select the date for Monday of the last week.
8. In the **Usage To** field, click the **Show Calendar** icon and select the date for Friday of the last week.
9. In the **Employee ID** field, enter ***XXX5678*** where XXX represents the department from your student data card.
10. In the **Employee Class** field, enter ***PM***.
11. In the **First Name** field, enter your first name.
12. In the **Last Name** field, enter your last name.
13. Click **Save**. The Full Name field is auto populated with FirstName LastName.



14. Click the **Fund Accounting** tab.
15. In the **Object** field, enter ***6011.***
16. In the **Dept** field, enter ***the data from your student data card***.
17. Click the **Detail Accounting** tab.
18. In the **Function** field, enter ***the data from your student data card***.
19. In the **Program** field, enter ***the Program code you created in Activity 5.5***.
20. Click **Save**.

D. Complete an Accounting Line for the project manager mileage for the previous week.

1. In the Accounting Line grid, click the **Copy Line** icon.



2. Click **Insert Copied Line**. A second line is displayed in the grid and fields in the Accounting component display the values copied from Accounting Line 1.
3. Click the **Usage Information** tab.
4. In the **Line Description** field, remove PM Labor and enter ***PM Mileage***.
5. From the **Usage Type** drop down list, select **Mileage**.
6. In the **Regular Labor/Usage Units** field, enter ***55***.
7. In the **Overtime Labor Units** field, remove 0.00000. For mileage, this field remains blank.
8. Click the **Fund Accounting** tab.
9. In the **Object** field, remove 6011 and enter ***6516***.
10. Click **Save**.

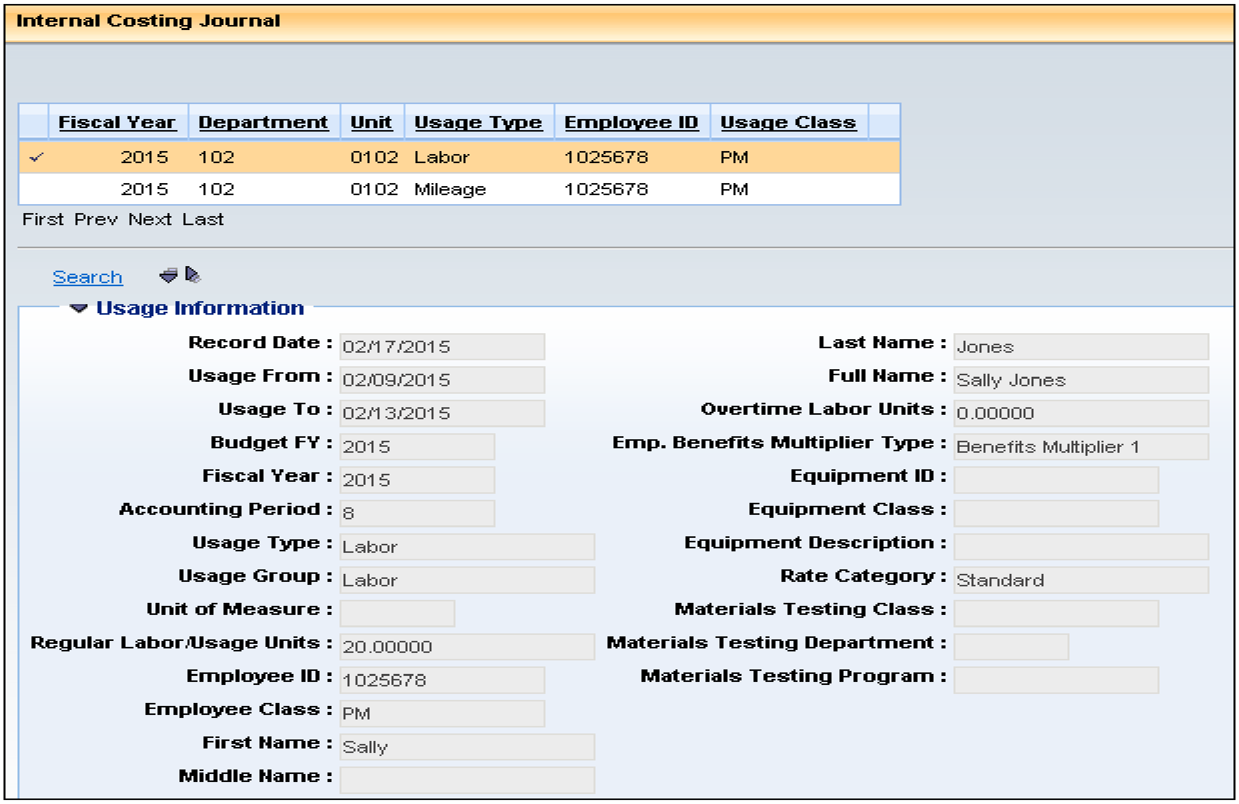
E. Validate and submit the ICT document, then click Close and return to the Home Page.

1. Click the **Validate** button to check for errors. If any errors exist, correct the errors and click the **Validate** button again. If the validation is successful, the following message displays in the upper left corner of the screen: "Document validated successfully."
2. Click the **Submit** button to submit the document for approval after all errors are resolved. If the submission is successful, the following message displays in the upper left corner: "Document submitted successfully."
3. Click **Close**.
4. Click **Home** on the Primary Navigation Panel to return to the Home Page.

8.6. Researching Internal Costing Usage Transaction Documents

When ICT documents are processed to Final Phase, the usage information is posted to the Internal Costing Journal (ICJ) page, waiting processing by the automated Internal Costing Process. This table is an inquiry only table. Upon ICT document submission, a new entry is created on the Internal Costing Journal for each accounting line on the ICT document. An ICT document modification updates the corresponding record on ICJ and an ICT document cancellation deletes the corresponding ICJ record.

The ICJ is also updated by the Internal Costing Process with the dates each process is completed for the ICT transaction.



Internal Costing Journal

	Fiscal Year	Department	Unit	Usage Type	Employee ID	Usage Class
✓	2015	102	0102	Labor	1025678	PM
	2015	102	0102	Mileage	1025678	PM

First Prev Next Last

Search

Usage Information

Record Date :	02/17/2015	Last Name :	Jones
Usage From :	02/09/2015	Full Name :	Sally Jones
Usage To :	02/13/2015	Overtime Labor Units :	0.00000
Budget FY :	2015	Emp. Benefits Multiplier Type :	Benefits Multiplier 1
Fiscal Year :	2015	Equipment ID :	
Accounting Period :	8	Equipment Class :	
Usage Type :	Labor	Equipment Description :	
Usage Group :	Labor	Rate Category :	Standard
Unit of Measure :		Materials Testing Class :	
Regular Labor/Usage Units :	20.00000	Materials Testing Department :	
Employee ID :	1025678	Materials Testing Program :	
Employee Class :	PM		
First Name :	Sally		
Middle Name :			

Activity 8.6

Research an ICT Document

Scenario

Navigate to the Internal Cost Journal (ICJ) to view the impact of the ICT document.

Setup

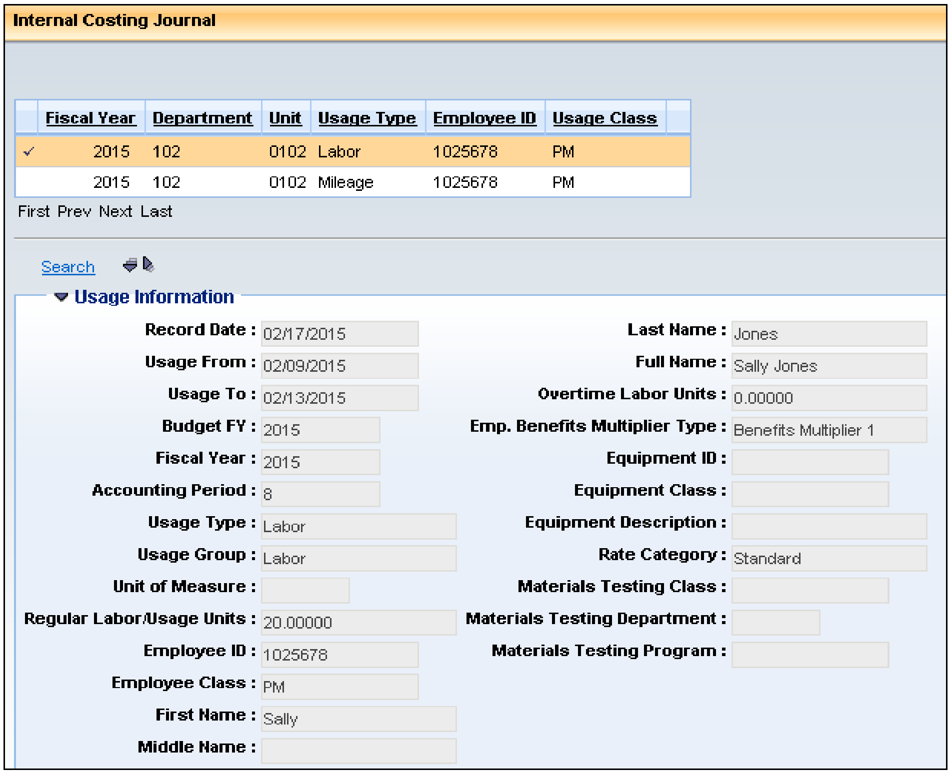
- ✓ User is logged in to the AFIS Home Page.
- ✓ The Major Program, Program, Program Period, and Budget for AZ Expressway Project have been established.
- ✓ The ICT document has been submitted to Final Phase.

Steps

A. Navigate to the ICJ page and search for records from your Internal Costing Usage Transaction document.

1. In the **Jump to** field, enter ***ICJ***.

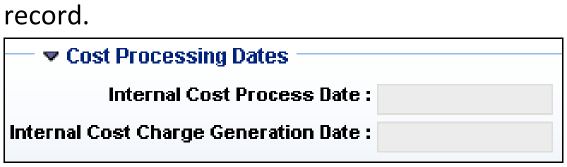
2. Click **Go**. The ICJ page opens and a Search window is displayed.
3. In the **Record Date** field, click the **Show Calendar** icon and select today's date.
4. In the **Document Code** field, enter ***ICT***.
5. In the **Document ID** field, enter ***XXX ICT*** where XXX represents the department from your student data card.
6. Click **Ok**. The records created from your ICT document are displayed in the grid.



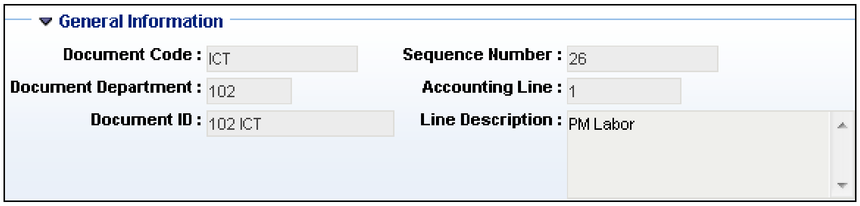
B. View the records entered on the ICJ page from your Internal Costing Usage Transaction document, then return to the Home Page.

1. Click the **Expand All** icon to expand all of the components on the page.
2. Scroll down to the **Cost Information** component.
3. Notice the fields are empty because the Internal Costing Process has not yet processed this record.

4. Scroll down to the **Cost Processing Dates** component.
5. Notice the fields are empty because the Internal Costing Process has not yet processed this record.



6. In the **General Information** component, notice that the ICT document you created is referenced in this component.



7. Scroll to the top of the page.
8. Select the second line in the grid.
9. Review the information for the second record created from your ICT document.
10. To return to the Home Page, click **Home** in the Primary Navigation Panel.

8.7. The Internal Costing Process

After the ICT document is processed to Final Phase and posted to the ICJ, the Internal Costing Process may be run to calculate costs and create Charge Transaction (CH) documents to record those costs to the department that benefited from the work. Optionally, the process can create entries to record revenue or expenditure reductions to the department that performed the work. When an entry on ICJ is processed, the date of the automated process is entered on the ICJ in the Internal Cost Process Date field and the creation date of the CH document is entered in the Internal Cost Charge Generation Date field. This process will be covered in more detail later in this lesson.

State Process Review

The steps below describe the statewide process. Your agency may have additional requirements. This process is referenced in To Be ID PA-TB-004 and represented by Figure 14 below.

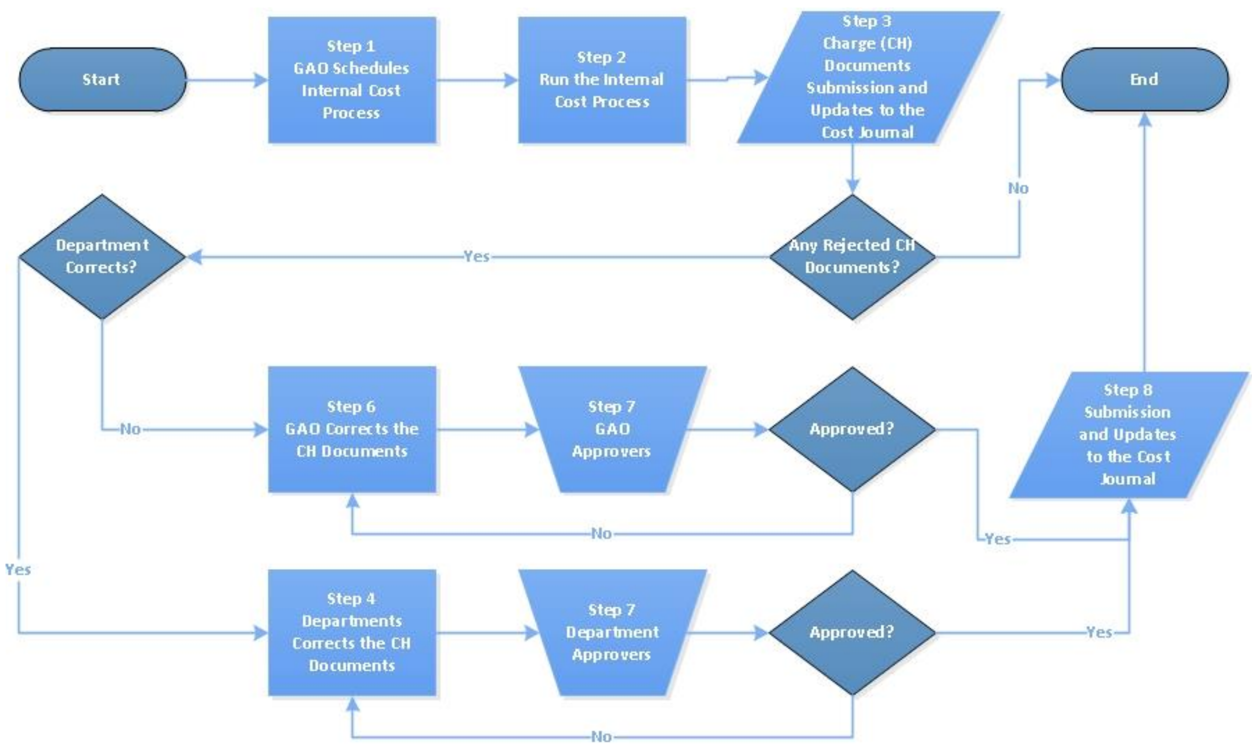
1. The GAO schedules the periodic execution of the Internal Costing Process based upon GAO and department requirements. Appropriate parameters for execution of the process will be setup before execution.

2. The GAO executes the Internal Cost job to calculate standard and fixed costs for various usage types, and to generate Charge Transaction (CH) documents to record those costs in the system. This process extracts the labor, mileage, and equipment usage data collected on ICT documents from the ICJ table and uses the data to generate the CH documents to record the memo costs.

3. When the Internal Costing process is executed, the CH documents are created, loaded, and submitted through this process. When finalized, these CH documents update the Cost Journal. If there are CH documents generated with errors, the documents are reviewed by the responsible department and corrected and resubmitted. System generated documents by-pass the workflow process unless manually modified by a user before they are submitted or when rejected documents are corrected.

4. Rejected CH documents will be researched and corre3cted by the responsible department in some circumstances. Once corrected, the documents will be validated and submitted, routing them through workflow for approval.
5. The corrected CH document requires review and approval by the department in some circumstances. Departmental approval will be configured for the individual departments as needed. If a document is rejected, it will be set to a draft state allowing department users to modify or correct the document and resubmit.
6. Rejected CH documents are researched and corrected by the GAO in some circumstances. Once corrected, the documents will be validated and submitted, routing them through workflow for approval.
7. The corrected CH document requires review and approval by the GAO in some circumstances. If a document is rejected, it will be set to a draft state allowing GAO users to modify or correct the document and resubmit.
8. When the final approval has been applied, the CH document updates the Cost Journal and the process ends.

Figure 14: The Internal Costing Process – Manually Correcting Rejected CH Documents (PA-TB-004)



Internal Costing Process

The automated Internal Costing process is a series of jobs that work together to calculate standard and fixed costs for various Internal Costing Usage Types based on the labor, mileage, and equipment usage data entered on ICT documents and posted to the ICJ table. The process then generates Charge Transaction (CH) documents to record those costs in AFIS.

The Internal Costing Process consists of the following jobs:

- Internal Cost Update
- Charge Document XML Generation
- CH Upload
- CH Submit
- CH Exception Report

8.8. Charge Transaction Document

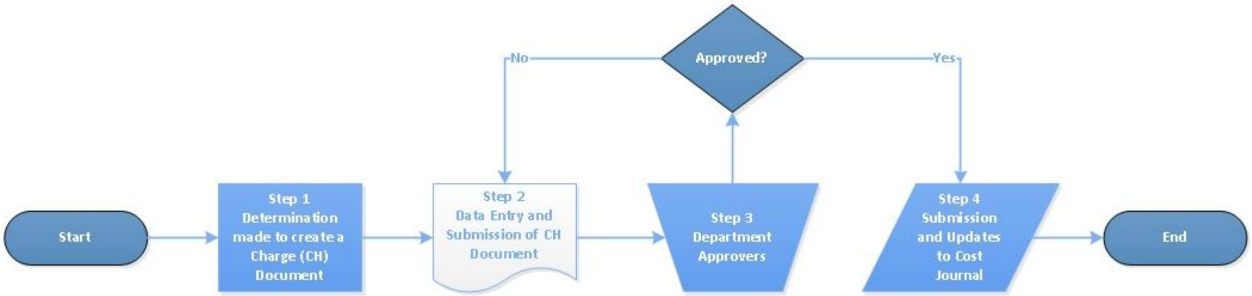
The Charge Transaction (CH) document is used to charge a project or grant for non-financial costs that are not set up on the Internal Costing pages. These memo entries are eligible for reimbursement. The CH document may also be used to record collected revenue (including tolls).

State Process Review

The steps below describe the statewide process. Your agency may have additional requirements. This process is referenced in To Be ID PA-TB-005 and represented by Figure 15 below.

1. Managers within each department identify the cost structure data elements to which the Charges or Revenue Credits are to be applied. The CH document structure is used to record memo costs to cost accounting budgets for such items as Charges and Revenue Credits.
2. The department is responsible for completing the CH document. Additional supporting information and/or justification documentation may be attached to the CH document. Once completed, the document will be validated and submitted, routing it through workflow for approval.
3. The CH document requires review and approval by the department. Departmental approval will be configured for the individual departments as needed. If a document is rejected, it will be set to a draft state allowing department users to modify or correct the document and resubmit.
4. When final approval has been applied, the CH document updates the Cost Journal.

Figure 15: Process of Creating a Charge Transaction (PA-TB-005)



Charge Transaction Document Components

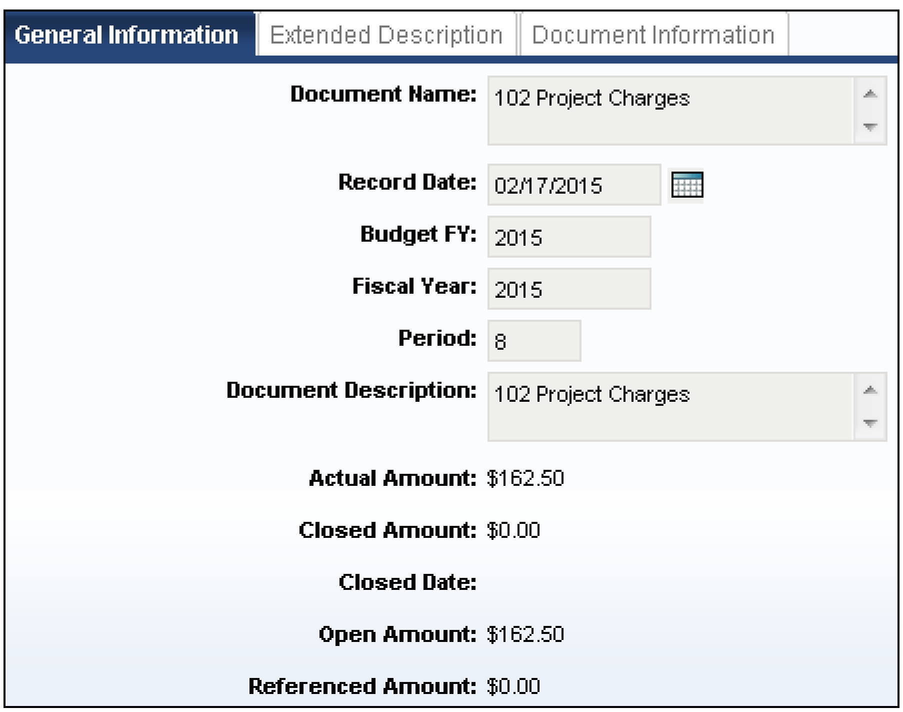
The CH document contains three components: Header, Accounting, and Posting.

Charge Transaction Header Component

The Header component records general information about the document. All fields in this component are optional; refer to department procedure for guidance on completing this component.

Charge Transaction Header – General Information Tab

The General Information tab contains descriptive fields and date information common to most document headers. It also contains fields that display the Actual, Closed, and Open Amounts of the CH document.

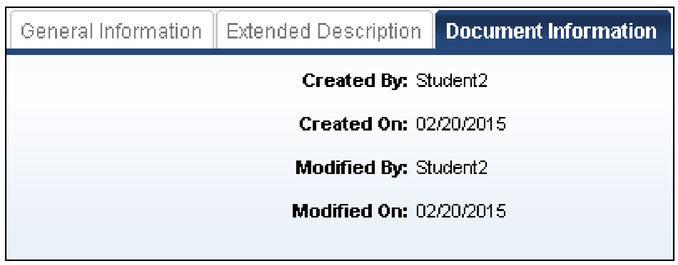


Charge Transaction Header – Extended Description Tab

The Extended Description tab contains one large text field for entering a long description of the document or notes related to the processing of the document.

Charge Transaction Header – Document Information Tab

The Document Information tab displays the user ID's and dates for document creation and modification.



Charge Transaction Accounting Component

The fields in the Accounting component capture key information about the charge amount, charge class, and Chart of Accounts information. Each CH document must have at least one Accounting line.

Charge Transaction Accounting – General Information Tab

The General Information tab contains the line amount (amount of the charge), descriptive fields, and date information. The set of available Event Types in the pick list represent Charge and Revenue Credit event codes, with CG01 (Record Standard Program Charge) as the default.

Charge Transaction Accounting – Fund Accounting Tab

The Fund Accounting tab contains Chart of Accounts elements that affect budget structures or accounts that will be updated by the Charge Transaction.

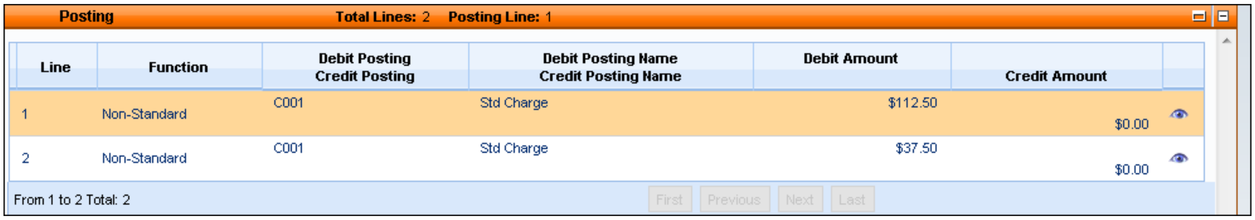
Charge Transaction Accounting – Detail Accounting Tab

The Detail Accounting tab contains decentralized Chart of Accounts elements that associated the usage charges to a grant or project and other Chart of Accounts elements as appropriate.

Charge Transaction Posting Component

The Posting component shows the accounting impact of the document. It shows values entered on the other components such as the Chart of Account elements, as well as many values that were not entered in the other components. No data can be entered into this section; posting lines are generated from the rest of the document data. Click the eye icon to expand the posting details.

The Posting component will only show the posting lines for one Accounting Line at a time. To see the Posting Lines for a different Accounting Line, click on the Accounting component, select another Accounting Line, and then click the Posting component.



Line	Function	Debit Posting Credit Posting	Debit Posting Name Credit Posting Name	Debit Amount	Credit Amount
1	Non-Standard	C001	Std Charge	$112.50	$0.00
2	Non-Standard	C001	Std Charge	$37.50	$0.00

Charge Transaction Data Entry

Each CH document component requires information and/or verification. This topic describes the data entry requirements for CH documents. To create a CH document, use the Document Catalog.

Charge Transaction Header

The CH document opens to the Header component, General Information tab. All fields in this component are optional. Refer to department procedure.

Charge Transaction Accounting

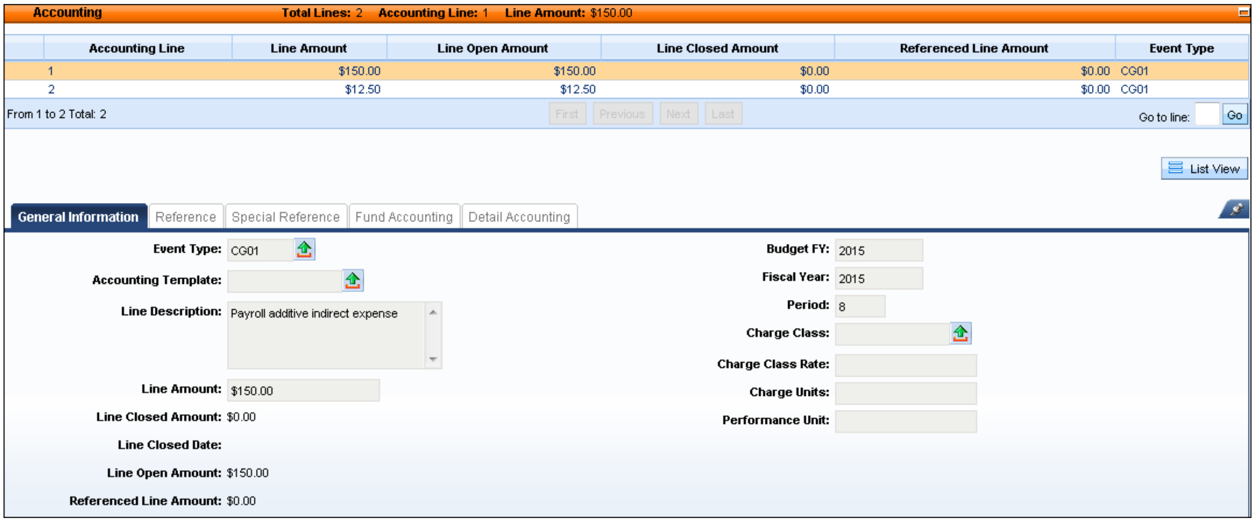
A new accounting line must be created by first clicking the Insert New Line button. Multiple Accounting lines are allowed on a CH.

Charge Transaction Accounting – General Information tab

The following fields on the General Information tab require information:

- **Event Type** - The Event Type field provides key information on the type of charge. The most commonly used Event Types are:
    - CG01 - Record Standard Program Charge (eligible for the Overhead Rate Process). This is the default Event Type
    - CG03 - Record Revenue Credit (eligible for the Overhead Rate Process)
    - CG10 - Record Standard Program Charge (not eligible for the Overhead Rate Process)
- **Line Amount** - The Line Amount is a required field. It may either be manually populated with the amount to be charged, or it may be calculated by AFIS based on entries in the Charge Class and Charge Units fields
- **Charge Class** - The Charge Class field defines a standard rate for a type of indirect expense. You use a Charge Class as an alternate method for calculating the value of Line Amount field. The Charge Class and Charge Units fields may be used to enter charges with standard rates. AFIS calculates the total charges by multiplying the values in the two fields; then populates the Line Amount field with the calculated value
- **Charge Unit** - Identifies the number of units that should be charged for the Charge Class

> ***Note:*** *The Charge Class defines a standard rate for a type of indirect expense and is established on the Charge Class (CHCLS) page.*



Charge Transaction Accounting – Fund Accounting tab

The Fund Accounting tab contains Chart of Accounts elements that define the budget structure or account that will be updated by the CH document.

Charge Transaction Accounting – Detail Accounting Tab

The Detail Accounting tab contains decentralized Chart of Accounts elements that associated the usage charges to a grant or project and other Chart of Accounts elements as appropriate.

Charge Transaction Posting

CH Posting lines will automatically be populated with information based on the information in the other sections. The information on the CH Posting lines cannot be modified.

Entering a Charge Transaction

It may be necessary to manually create a Charge Transaction (CH) document to charge a project or grant for costs that are not set up on the Internal Costing pages. In addition, the CH document may be used for specialized purposes. Examples of situations that might require manual creation of a CH document are:

- Record a Revenue Credit or Program income to reduce the draw down request amount
- Record as a memo entry the 'in-kind' value (e.g., non-cash match) as part of grant activity
- Capture statistical and other non-accounting information

ACTIVITY 8.8
Create a CH Document

Scenario
Charges must be manually entered to record payroll additive indirect expenses in AFIS. Complete a CH document to associate these transactions with your project.

Setup
- ✓ User is logged in to the AFIS Home Page.
- ✓ An entry has been made on the Charge Class page.

Steps
A. Navigate to the Document Catalog and initiate a new CH document.

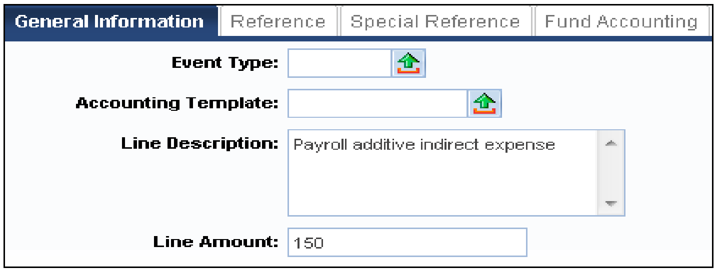
1. On the Secondary Navigation Panel, click **Search**.
2. Click **Document Catalog**.
3. Click **Create** to switch to Create mode.
4. In the **Code** field, enter ***CH***.
5. In the **Dept** field, enter ***the data from your student data card***.
6. In the **ID field,** enter ***XXXCH*** where XXX represents the department from your student data card.
7. Click **Create**. The CH document opens and the Header component is displayed.

B. Complete the Header component of the CH document.

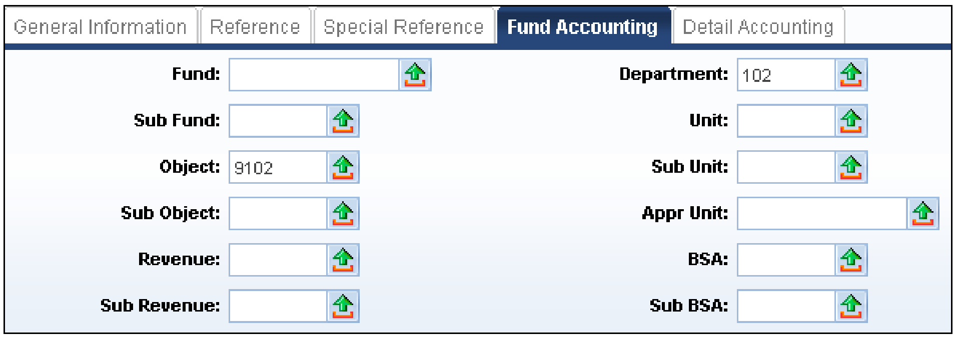
1. When the **CH** document is created, a new Document ID is generated. The document is shown as Ver: 1, Function: New, Phase: Draft.
2. In the **Document Name** field, enter ***XXX Project Charges*** where XXX represents the department from your student data card.
3. In the **Document Description**, enter ***XXX Project Charges*** where XXX represents the department from your student data card.

C. Complete an Accounting line using a manually entered charge.

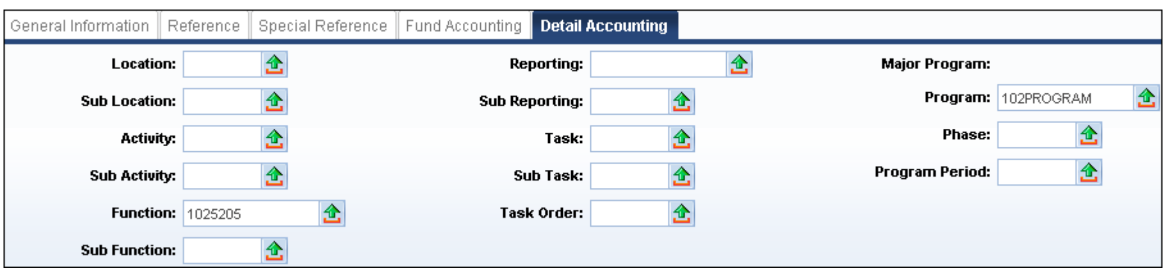
1. To navigate within a document, you can either click the component name at the bottom of the document, or use the Document Navigator panel. In this training, you will use the Document Navigator. If necessary, click the **Open Document Navigator** icon (small arrow on left side) to switch to Document Navigator mode.
2. On the Document Navigator, click **Accounting**.
3. Click **Insert New Line**.
4. In the **Line Description** field, enter ***Payroll additive indirect expense***.
5. In the **Line Amount** field, enter ***150***.



6. Click the **Fund Accounting** tab.
7. In the **Object** field, enter ***9102***.
8. In the **Department** field, enter ***the data from your student data card***.

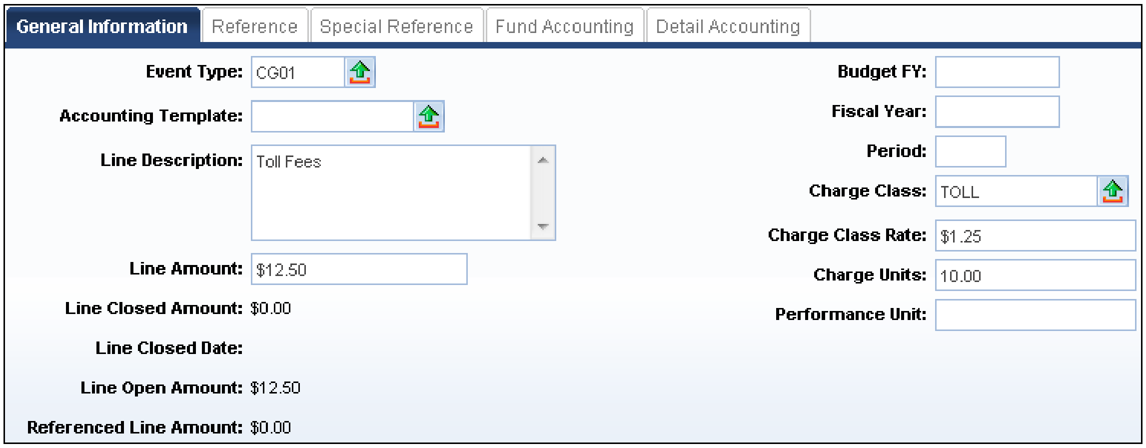


9. Click the **Detail Accounting** tab.
10. In the **Function** field, enter ***the data from your student data card.***
11. In the **Program** field, enter the Program code you created in Activity 5.5.
12. Click **Save**.



D. Complete an Accounting line using entries in the Charge Class and Charge Units fields.

1. In the Accounting grid, click the **Copy Line** button.
2. Click **Insert Copied Line**.
3. Click the **General Information** tab.
4. In the **Line Description** field, remove the copied entry and enter ***Toll Fees***.
5. In the **Line Amount** field, remove the copied entry and leave this field blank.
6. From the **Charge Class** pick list, select **TOLL**.
7. In the **Charge Units** field, enter ***10***.
8. Click **Save**.
9. Notice that the Line Amount and the Charge Class Rate fields are auto populated.



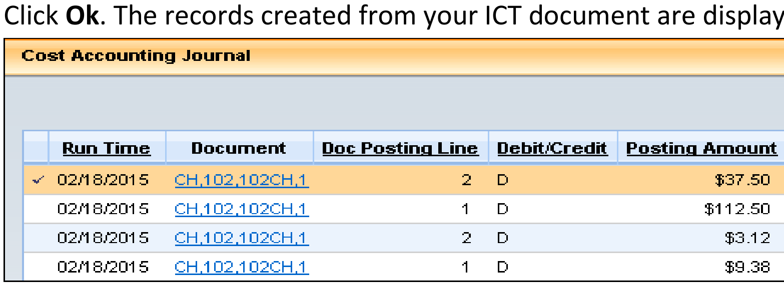
10. Click the **Fund Accounting** tab.
11. Review the copied entries.
12. Click the **Detail Accounting** tab.
13. Review the copied entries.

E. Validate and submit the CH document, then click Close, and return to the Home Page.

1. Click the **Validate** button to check for errors. If any errors exist, correct the errors and click the **Validate** button again. If the validation is successful, the following message displays in the upper left corner of the screen: "Document validated successfully."
2. Click the **Submit** button to submit the document for approval after all errors are resolved. If the submission is successful, the following message displays in the upper left corner: "Document submitted successfully."
3. Click **Close**.
4. To return to the Home Page, click **Home** in the Primary Navigation Panel.

F. Verify charges in Cost Journal Inquiry (JCA)

1. In the **Jump to** field, enter ***JCA***.
2. Click **Go**. The JCA page opens and a Search window is displayed.
3. In the **Doc Record Date** field, click the **Show Calendar** icon and select **today's date**.
4. In the **Document Code** field, enter ***CH***.
5. In the **Document ID** field, enter ***XXXCH*** where XXX represents the department from your student data card.
6. Click **Ok**. The records created from your ICT document are displayed in the grid.



Cost Accounting Journal

	Run Time	Document	Doc Posting Line	Debit/Credit	Posting Amount
✓	02/18/2015	CH,102,102CH,1	2	D	$37.50
	02/18/2015	CH,102,102CH,1	1	D	$112.50
	02/18/2015	CH,102,102CH,1	2	D	$3.12
	02/18/2015	CH,102,102CH,1	1	D	$9.38

7. Click the **Expand All** icon to expand all of the components on the page and review the fields on the inquiry page.

8. Click **Home** on the Primary Navigation Panel to return to the Home Page.

Lesson Summary

In this lesson, you:

- Created an Internal Costing Usage Transaction (ICT) document
- Reviewed records posted on the Internal Costing Journal (ICJ) page
- Described the Internal Costing Process
- Created a Charge Transaction (CH) document

Check Your Progress

1. Internal costs are charged to a project or a grant on a _________________ _ document.
    a. Internal Costing Usage Transaction
    b. Charge Transaction
    c. Both a. and b.

2. The units of usage for labor, mileage, and equipment are recorded on a ____________ document.
    a. Internal Costing Usage Transaction
    b. Charge Transaction
    c. General Accounting Expenditure
    d. None of the above

3. Internal Costs may be manually updated on the Internal Costing Journal.
    a. True
    b. False

4. The Internal Costing Process calculates costs based on the usage data posted to the Internal Costing Journal.
    a. True
    b. False

5. The Charge Transaction document is generated ___________________________.
    a. Manually
    b. By the Internal Costing Process
    c. Both manually and by the Internal Costing Process

9. PROJECT REVENUE

Learning Objectives

In this lesson, you will:

- Define the purpose of the Receivable (RE) and Cash Receipt (CR) documents
- Create a Receivable (RE) document to manually record the request for project revenue (drawdown request) in AFIS
- Create a Cash Receipt (CR) document to manually record the receipt of project revenue in AFIS by using the Copy Forward function from the Receivable (RE) document
- View the impact of the receipt of revenue on the budget inquiry page

Lesson Overview

A Receivable (RE) document is used to record a request for project or grant revenue in AFIS. This represents the drawdown request from the funding source. The Cash Receipt (CR) document is used to record the receipt of revenue in AFIS. The AFIS automated reimbursement process systematically generates an RE and/or a CR document, if a project or grant is setup with a reimbursement budget structure and a Funding Profile. The automated reimbursement process is a three step process: (1) identifies financial transactions eligible for reimbursement; (2) calculates the reimbursement amounts; and (3) based on settings on the Funding Line, generates a Receivable and/or a Cash Receipt document.

The RE and CR documents can be manually created for projects or grants not using the automated reimbursement process. In this case, the CR document is normally generated from the RE document, using the Copy Forward feature. A CR document may also be manually created when revenue is received without prior creation of an RE document.

Billed and collected revenue are displayed on the budget inquiry pages in the Revenue Actuals component.

9.1. Record a Project Receivable

An important process in the lifecycle of a project or grant is to generate a drawdown request to seek reimbursement from external agencies for project and grant activities performed by the State. The amount of the drawdown may be systematically calculated by AFIS as a part of the automated reimbursement process. A drawdown request calculated manually outside of AFIS is entered in the system by creating a Receivable (RE) document. Revenues are recognized at the time a Receivable (RE) document is recorded.

Receivable (RE) Document

Header Component

The Header component stores values that apply to the entire RE document. The General Information tab contains descriptive fields, along with date information common to most document headers. It also shows the total amount of the document, the closed amount, and dispute information.

Vendor Component

Creating an RE document requires a valid and active Vendor/Customer code from the VCUST table. The Customer code determines who is being billed by the RE document.

In the Vendor section, the General Information tab contains the name, billing profile, and address information of the customer, as well as the AR Department and Unit information.

Accounting Component

The Accounting component records the Chart of Accounts information used when posting the document to the ledgers and performs updates to the applicable budgets. One RE document can contain one or more Accounting lines. Users must click Insert New Line before entering information into the Accounting component.

Posting Component

The Posting component displays the accounting impact of the RE document. No data can be entered into the Posting section; Posting lines are generated from the rest of the document data. Users can click the Eye icon to expand the posting details.

Each Accounting line entered into the Accounting section has its own Posting line(s). The Posting section will only display the Posting lines for one Accounting line at a time.

ACTIVITY 9.1

Create an RE Document

Scenario

You are ready to submit a drawdown request to seek reimbursement for project activities. Although this project has been setup to utilize the automated reimbursement process, for instructional purposes, you will manually create an RE document to record the drawdown request in AFIS.

Setup

- ✓ User is logged in to the AFIS Home Page.
- ✓ The Major Program, Program, Program Period, and Budget for the AZ Expressway Project have been established.

Steps

A. Navigate to the Document Catalog to initiate a Receivable (RE) document for the AZ Expressway Project.

1. On the Secondary Navigation Panel, click **Search.**
2. Click **Document Catalog**.

A. Enter information in the Document Catalog.

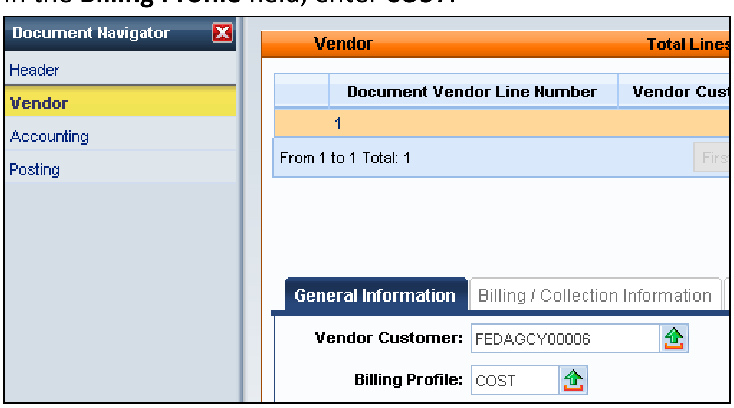
1. Click **Create** to switch to Create mode.
2. In the **Code** field, enter ***RE***.
3. In the **Dept** field, enter ***the data from your student data card***.
4. In the **Unit** field, enter ***the data from your student data card***.
5. In the **Other Options** component, check the **Auto Numbering** check box.
6. Click **Create.** The **RE** document opens on Header component.

B. Complete the General Information tab on the Header component of the RE.

1. When the **RE** document is created, a new Document ID is generated. The document is shown as Ver: 1, Function: New, Phase: Draft.
2. In the **Document Name** field, enter ***XXX Fed Draw*** where XXX represents the department from your student data card.
3. In the **Document Description** field, enter ***XXX Fed Draw*** where XXX represents the department from your student data card.

C. Complete the General Information tab on the Vendor component of the RE document.

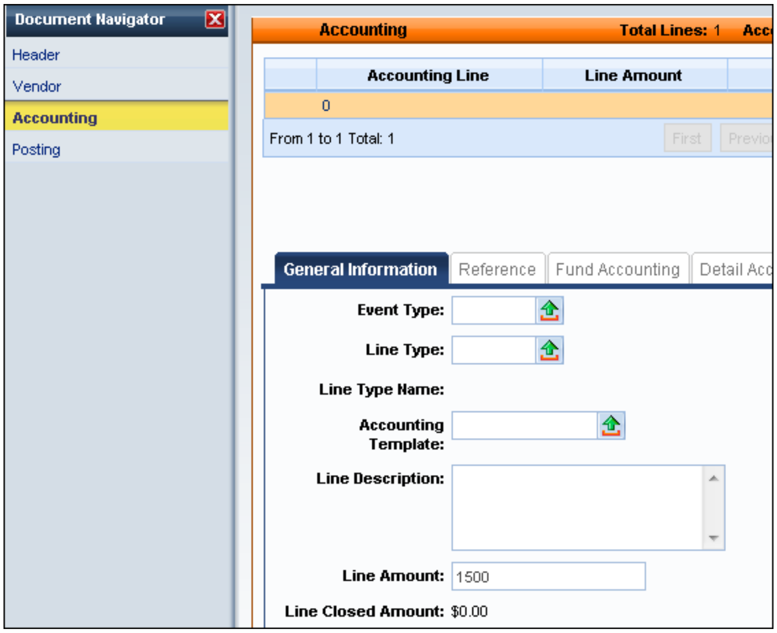
1. To navigate within a document, you can either click the component name at the bottom of the document, or use the Document Navigator panel. In this training, you will use the Document Navigator. If necessary, click the **Open Document Navigator** icon (small arrow on left side) to switch to Document Navigator mode.
2. On the Document Navigator, click **Vendor**.
3. In the **Vendor Customer** field, enter ***FEDAGCY0006***.
4. In the **Billing Profile** field, enter ***COST***.



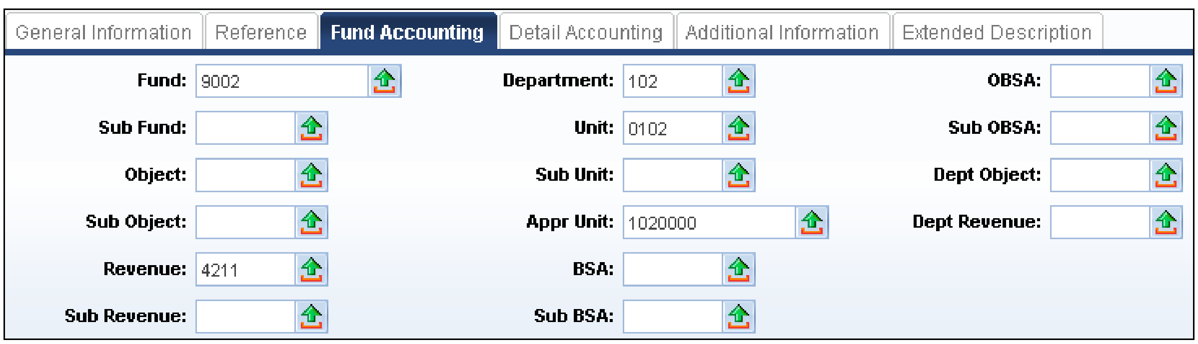
5. Click **Save**. Vendor information is auto populated from the Vendor Customer record.

D. Complete the General Information tab on the Accounting component of the RE document.

1. On the Document Navigator, click **Accounting**.
2. Click **Insert New Line.**
3. In the **Line Amount** field, enter ***1500***. This is the amount of the drawdown request.

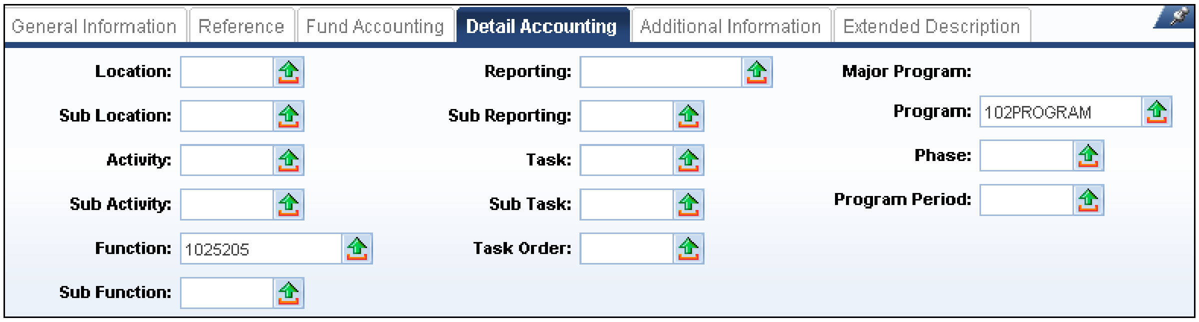


E. Complete the Fund Accounting tab on the Accounting component of the RE document.



1. Click the **Funding Accounting** tab.
2. In the **Fund** field, enter ***the data from your student data card***.
3. In the **Revenue** field, enter ***4211***.
4. In the **Department** field, enter ***the data from your student data card***.
5. In the **Unit** field, enter ***the data from your student data card***.
6. In the **Appr Unit** field, enter ***the data from your student data card***.

F. Complete the Detail Accounting tab in the Accounting component of the RE document.



1. Click the **Detail Accounting** tab.
2. In the **Function** field, enter ***the data from your student data card***.
3. In the **Program** field, enter the Program you created in Activity 5.5.

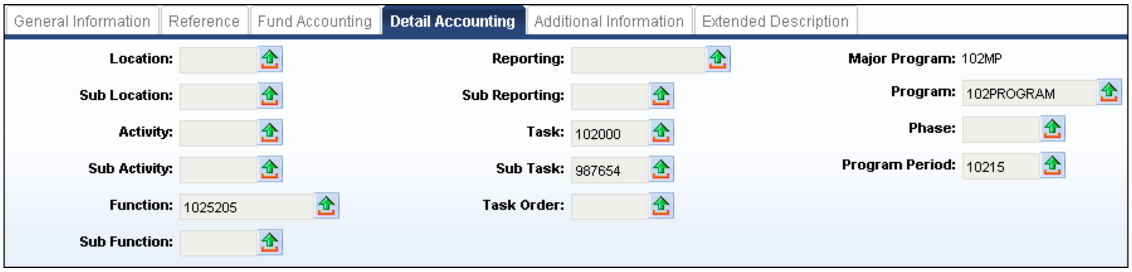
Note: The COA information inferred by a Function code will vary based on department policy.

G. Validate and submit the RE document.

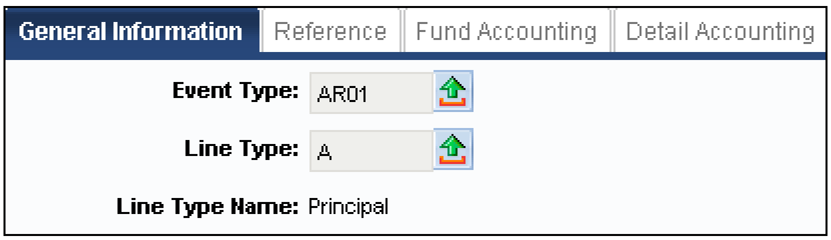
1. Click the **Validate** button to check for errors. If any errors exist, correct the errors and click the **Validate** button again. If the validation is successful, the following message displays in the upper left corner of the screen: "Document validated successfully."
2. Click the **Submit** button to submit the document for approval after all errors are resolved. If the submission is successful, the following message displays in the upper left corner: "Document submitted successfully."

H. View the fields that are auto populated by AFIS, then click Close, and return to the Home Page.

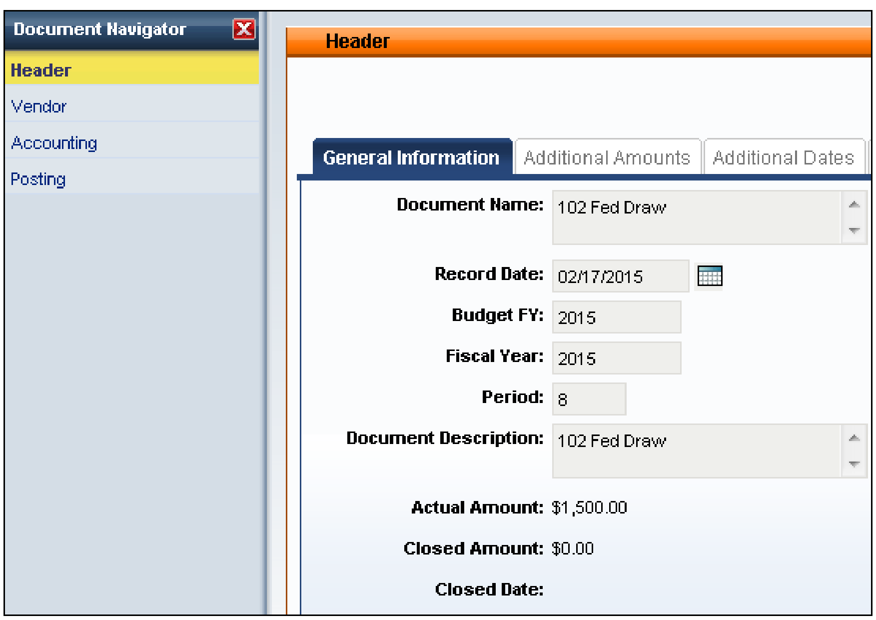
1. On the **Detail Accounting** tab of the Accounting component, notice that the **Major Program** and **Program Period** fields have been populated.



2. Click the **General Information** tab.
3. Notice the **Event Type** defaulted to **AR01** (Bill Earned Revenue) and the **Line Type** defaulted to **A**. The Event Type and Line Type provide accounting instructions to AFIS.



4. On the Document Navigator, click **Header**.
5. In the **General Information** tab, notice that the **Record Date, Budget FY, Fiscal Year,** and **Period** fields are populated. The **Actual Amount** field is populated with the drawdown amount of $1500.



6. Click **Close**.
7. Click **Home** on the Primary Navigation Panel to return to the Home Page.

9.2. Receive Project Revenue

An important process in the lifecycle of a project or grant is the receipt of reimbursement for supplies purchased or services provided to accomplish project and grant activities. In AFIS, the Cash Receipt (CR) document is utilized to record receipt of this revenue. The CR document is generated by AFIS for projects and grants utilizing the automated reimbursement process.

When the funding source has been billed with an invoice and funds have been received as a result of the invoice, a Cash Receipt (CR) document is entered with reference to the RE document. The CR liquidates the referenced amount on the RE.

Multiple RE documents can be referenced on a CR allowing the deposit amount to equal the cash receipt total. The Auto Apply functionality allows users to easily add multiple accounting lines. A CR document can also be manually created, when revenue is received without prior creation of an RE document. Please refer to the Accounts Receivable course for more detailed information on RE creation and processing.

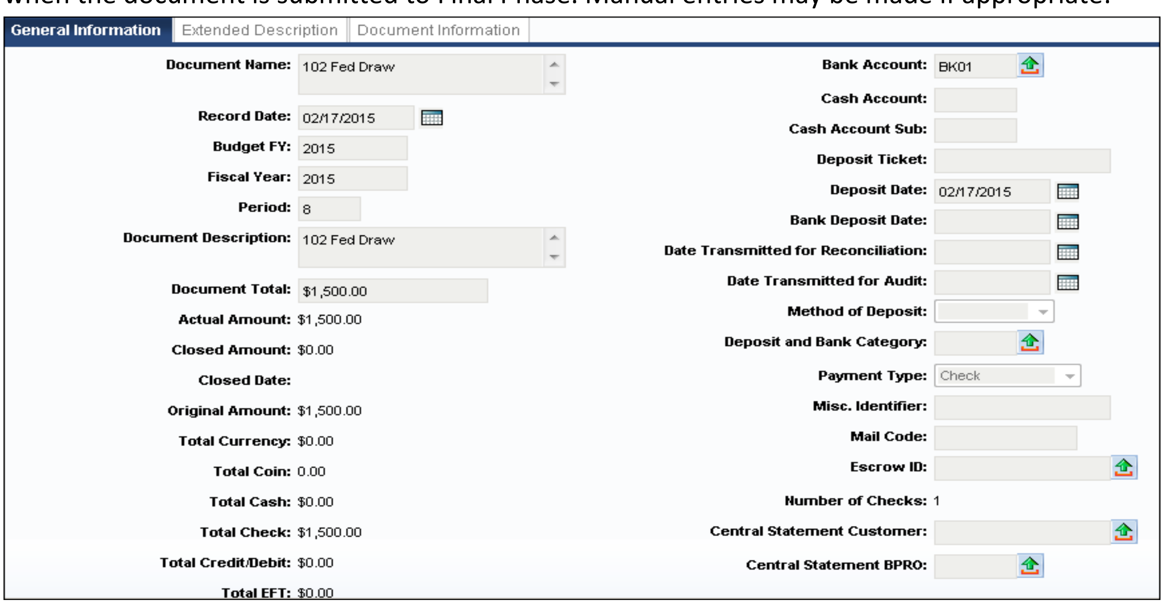
Cash Receipt (CR) Document

Header Component

Key fields, described below, must be completed in the General Information tab of the Header component, on the Cash Receipt (CR) document.

- Bank Account
- Deposit Date
- Payment Type

The Record Date, Budget FY, Fiscal Year, and Period fields are auto populated based on the current date when the document is submitted to Final Phase. Manual entries may be made if appropriate.



Vendor Component

Most fields in the Vendor component are auto populated from the RE document, when the Copy Forward function is utilized. This is the preferred method to create an RE document for those projects and grants not utilizing the automated reimbursement process.

The Auto Apply check box should be checked to allow the payment to be applied in the payment order indicated on the Billing Profile. See the Accounts Receivable course for additional information.

The Payment Date and Check/EFT Number are manually entered on the Payment Information tab.

Accounting Component

Most fields in the Accounting component are auto populated from the RE document when the Copy Forward function is utilized.

The Ref Type field on the Reference tab is defaulted to Partial, which indicates that the payment does not fully liquidate the outstanding Receivable amount. Unless the option is manually changed to Final the system looks up the outstanding Receivable amount when the Validate button is selected. If the Receivable is satisfied, the system changes the Ref Type to Final when the document is validated and/or submitted to Final Phase.

ACTIVITY 9.2

Create a CR Document

Scenario

A check has been received from the Federal government to reimburse the State for expenditures related to the AZ Expressway Project, as detailed on the RE document. Use the Copy Forward function to create a Cash Receipt (CR) document from the Receivable (RE) document created in the previous lesson.

Setup

- ✓ User is logged in to AFIS Home Page.
- ✓ The Major Program, Program, Program Period, and Budget for the AZ Expressway Project have been established.
- ✓ A Receivables (RE) document has been submitted to Final Phase.
- ✓ The revenue has been received.

Steps

A. Navigate to the RE document created in the previous activity.

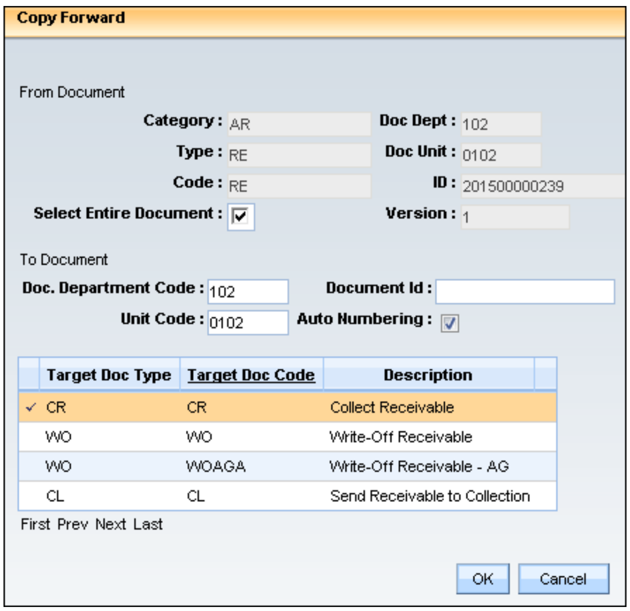
1. On the Secondary Navigation Panel, click **Search.**
2. Click **Document Catalog**.
3. In the **Code** field, enter ***RE***.
4. Click the **User Information** component to expand it.
5. In the **Create User ID** field, enter your Learner ID.

6. In the **Create Date** field, click the **Show Calendar** icon and select the current date**.**
7. Click **Browse**.
8. In the results grid, click the **ID** link to navigate to your RE document.

B. Use the Copy Forward function to create a Cash Receipt (CR) document.

1. Click the **Copy Forward** button in the lower left corner of the **RE** document. The Copy Forward window is displayed. Fields in the **To Document** component are available for data entry.

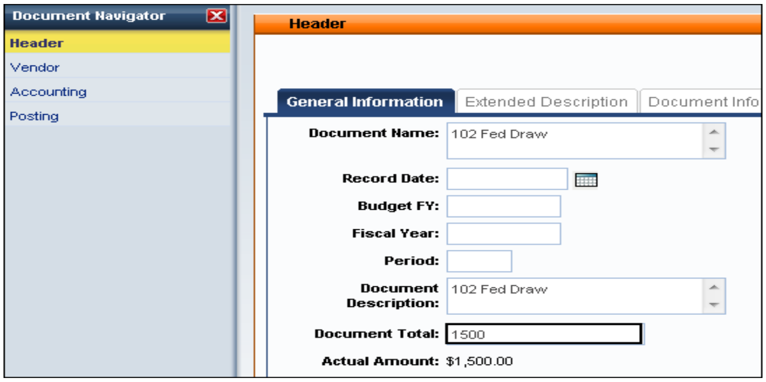
2. In the **Doc. Department Code** field, enter ***the data from your student data card***.
3. In the **Unit** field, enter ***the data from your student data card***.
4. Check the **Auto Numbering** check box.
5. In the **Target Doc Code** grid, verify that the **CR** document is checked. This grid allows you to select the type of document that should be created by the Copy Forward process.
6. Click **OK**. The CR document opens and the Header component is displayed.



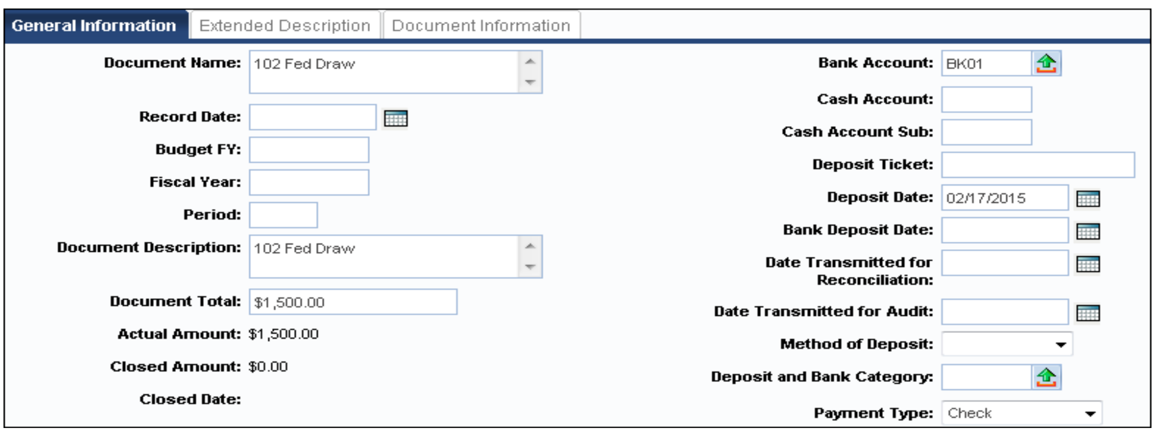
C. Complete the General Information tab on the Header component of the CR.

1. When the **CR** document is created, a new Document ID is generated. The document is shown as Ver: 1, Function: New, Phase: Draft.
2. To navigate within a document, you can either click the component name at the bottom of the document, or use the Document Navigator panel. In this training, you will use the Document Navigator. Click the **Open Document Navigator** icon (small arrow on left side) to switch to Document Navigator mode.

3. Notice the **Document Name, Document Description,** and **Actual Amount** fields have been auto populated from the **RE** document.
4. In the **Document Total** field, enter ***1500***.

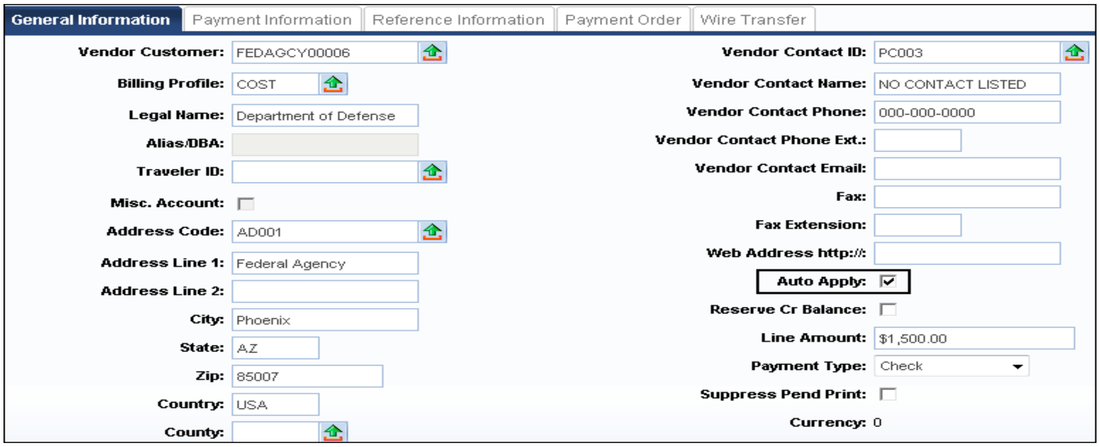


5. From the **Bank Account** pick list, select ***BK01.***
6. In the **Deposit Date** field, click the **Show Calendar** icon and select the current date.
7. From the **Payment Type** pick list, select **Check**.
8. Click **Save**.



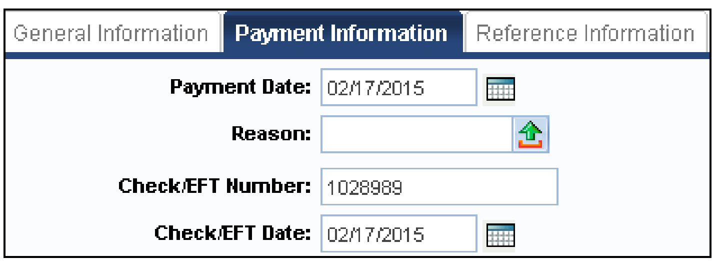
D. View the information in the General Information tab on the Vendor component of the CR.

1. On the Document Navigator, click **Vendor**.
2. View the information copied forward from the **RE** document.
3. Check the **Auto Apply** check box.



E. Complete the Payment Information tab on the Vendor component of the CR.

1. Click the **Payment Information** tab.
2. The current date is defaulted in the **Payment Date** field. If the payment was received on a different date, enter the actual date the payment was received.
3. In the **Check/EFT Number** field, enter ***XXX8989*** where XXX represents the department from the student data card.
4. In the **Check/EFT Date** field, click the **Show Calendar** icon and select today's date.
5. Click **Save**.



F. View the information on the General Information, Fund Accounting, and Detail Accounting tabs on the Accounting component of the CR.

1. On the Document Navigator, click **Accounting**.
2. Click the **General Information, Fund Accounting,** and **Detail Accounting** tabs to view the information copied forward from the **RE** document**.**

G. Validate and submit the CR document.

1. Click the **Validate** button to check for errors. If any errors exist, correct the errors and click the **Validate** button again. If the validation is successful, the following message displays in the upper left corner of the screen: "Document validated successfully."
2. Click the **Submit** button to submit the document for approval after all errors are resolved. If the submission is successful, the following message displays in the upper left corner: "Document submitted successfully."

H. View the fields on the General Information tab of the Header auto populated by AFIS, then click Close on the CR and RE documents, and return to the Home Page.

1. On the Document Navigator, click **Header**.
2. Notice the **Record Date, Budget FY, Fiscal Year, Period** and **Total Check** fields are populated.
3. Click **Close** on the CR document.
4. Click **Close** on the RE document.
5. Click **Home** on the Primary Navigation Panel to return to the Home Page.

9.3. Review the Status of a Cost Accounting Budget

Previously, you saw how project expenditures are displayed in the Expense Actuals component on a budget inquiry page. The Revenue Actuals component of the budget inquiry page displays reimbursement activity throughout the lifecycle of the project or grant.

Revenue Actuals

The Revenue Actuals component displays revenue transactions when billed and received.

- Billed Earned Revenue - The total dollar amount of funds that have been billed against a revenue budget that has met the criteria for being considered earned.
- Collected Earned Revenue - The total dollar amount of funds that have been collected against a revenue budget.

AFIS calculates and displays the Unrecognized Revenue and Total Revenue.

Now, return to the budget inquiry pages to see how revenue transactions are displayed.

ACTIVITY 9.3

Review the Status of a Cost Accounting Budget

Scenario

Navigate to the budget inquiry pages to view the impact of the receipt of revenue for the AZ Expressway Project.

Setup

- ✓ User is logged in to AFIS Home Page.
- ✓ A drawdown request for the AZ Expressway Project has been processed and revenue received.

Steps

A. Navigate to the Budget Structure 38 Level One Budget Inquiry page.

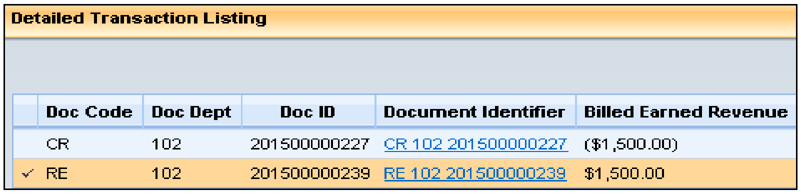
1. In the **Jump to** field, enter ***BQ38LV1***.
2. Click **Go**. The **Major Program Budget** page opens and a Search window is displayed.
3. In the **Department** field, enter ***the data from your student data card***.

4. In the **Major Program** field, enter ***XXXMP*** where XXX represents the department from the student data card.
5. Click **Ok**. The budget line for your program is displayed in the grid.

B. Review the impact of the RE and CR documents generated by the automated reimbursement process on the Revenue Actuals for the AZ Expressway project, then return to the Home Page.

1. Click **Revenue Actuals** to expand the component.
2. View the **Billed Earned Revenue** field. This displays the amount requested on a drawdown but not yet received.

3. Click the **Magnifying Glass** icon to the right of the **Billed Earned Revenue** field to drill down to the **Detailed Transaction Listing.** Notice the RE document that debited the Billed Earned Revenue field, and the CR that credited the Billed Earned Revenue field.



Detailed Transaction Listing

	Doc Code	Doc Dept	Doc ID	Document Identifier	Billed Earned Revenue
	CR	102	201500000227	CR 102 201500000227	($1,500.00)
✓	RE	102	201500000239	RE 102 201500000239	$1,500.00

4. Click the **Document Identifier** link to navigate to the RE document that created the Billed Earned Revenue.
5. Click the **Close** button on the RE to return to the **Detailed Transaction Listing**.
6. Click **OK** to return to the budget inquiry page.
7. Notice the **Collected Earned Revenue** field. This indicates the revenue that has actually been collected.
8. Click the **Magnifying Glass** icon to the right of the **Collected Earned Revenue** field to drill down to the **Detailed Transaction Listing.** Notice the CR document that has been processed to record the receipt of reimbursement for the drawdown request.
9. Click **OK** to return to the budget inquiry page.
10. Click **Home** on the Primary Navigation Panel to return to the Home Page.

Lesson Summary

In this lesson, you:

- Defined the purpose of the Receivable (RE) and Cash Receipt (CR) documents
- Defined the purpose of the Accrued Receivable (ARE) document
- Created a Receivable (RE) document to manually record the request for project revenue (drawdown request) in AFIS
- Created a Cash Receipt (CR) document to manually record the receipt of project revenue in AFIS by using the Copy Forward function from the Receivable (RE) document
- Viewed the impact of the receipt of revenue on the budget inquiry page

Check Your Progress

1. Departments record the request for project revenue (drawdown request) on a _____ document.
   a. Revenue (RE) document
   b. Receivable (RE) document
   c. Request (RE) document
   d. None of the above

2. An ARE document is used to ______________________________.
    a. Record a drawdown request that has not been requested from the funding source (accrued receivable)
    b. Modify a RE document to request additional reimbursement from a funding source
    c. Both a. and b.
3. Departments record the receipt of project revenue on a _____ in AFIS.
    a. Cash Receipt (CR) document
    b. Contract Revenue (CR) document
    c. Revenue (RE) document
    d. None of the above
4. A Cash Receipt document must be created by using the Copy Forward function.
    a. True
    b. False
5. When reimbursement for a drawdown request is received and the CR document is submitted to Final Phase, the ________ field on the budget inquiry page is updated.
    a. Total Revenue
    b. Expected Revenue
    c. Collected Earned Revenue

10. Closing a Program or Program Component

Learning Objectives

In this lesson, you will:

- Identify the mechanisms available to close a project or grant
- Close a grant

Lesson Overview

Closing a project or grant is defined as the point at which no further transactions are allowed to be processed for the project or grant. The Active check box in AFIS is used to indicate whether a Chart of Accounts element is active or inactive. A project or grant element is closed by unchecking the Active check box on the appropriate cost accounting Chart of Accounts element. The Effective From and Effective To date fields also control the ability to process transactions for a cost accounting Chart of Accounts element.

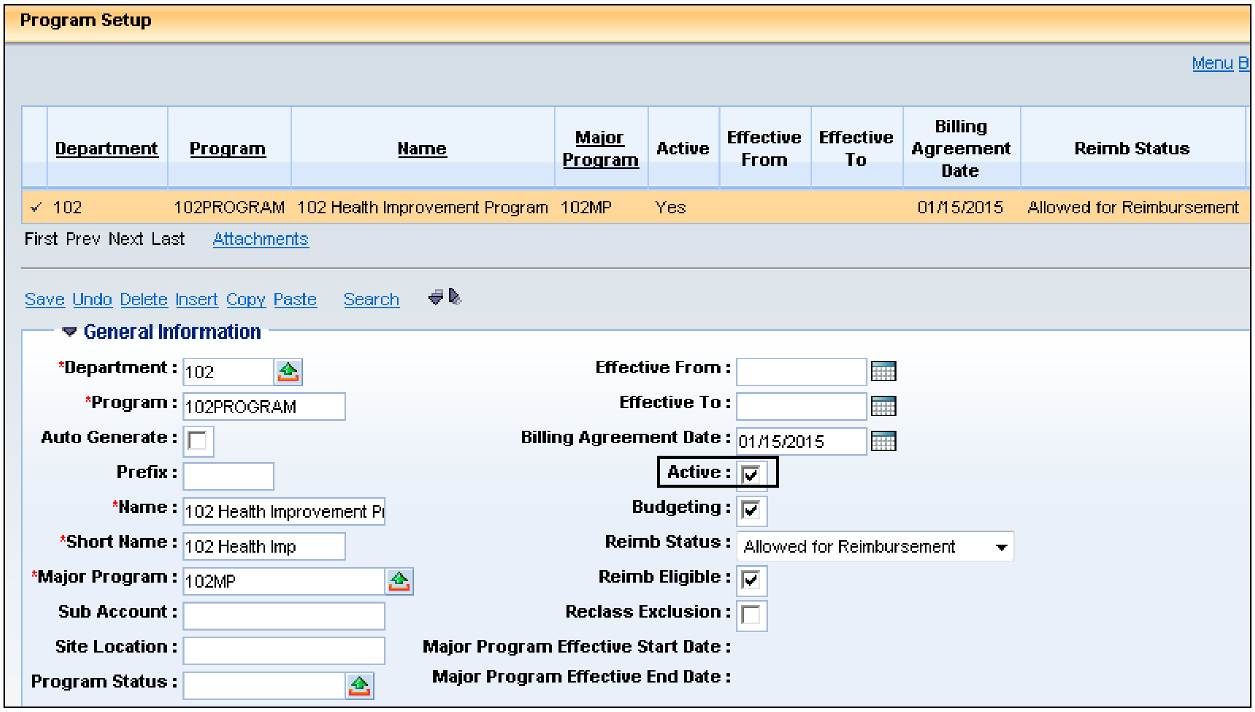
10.1. Close a Program or Program Component

The Active check box and the Effective From and Effective To date fields on various pages restrict transactions in AFIS.

Active Check Box

The Active check box is found on the Major Program, Program, Program Phase, Program Period, and Funding Profile pages. No transactions of any kind can be processed for that Chart of Accounts element if the Active check box is unchecked. This box remains checked on all pages until all transactions for that project or grant are processed. Then, the Chart of Accounts element is closed by unchecking the Active check box.

A project or grant is normally closed by unchecking the Active check box on the Program page; however, this check box may optionally be used on the Program Phase or Program Period pages. This is appropriate when one Phase of a Program must be closed but other Phases of the Program remain active; or when one Program Period of a Program must be closed but other Program Periods of the Program remain active.



Program Setup

Menu B

	Department	Program	Name	Major Program	Active	Effective From	Effective To	Billing Agreement Date	Reimb Status
✓	102	102PROGRAM	102 Health Improvement Program	102MP	Yes			01/15/2015	Allowed for Reimbursement

First Prev Next Last Attachments

Save Undo Delete Insert Copy Paste Search

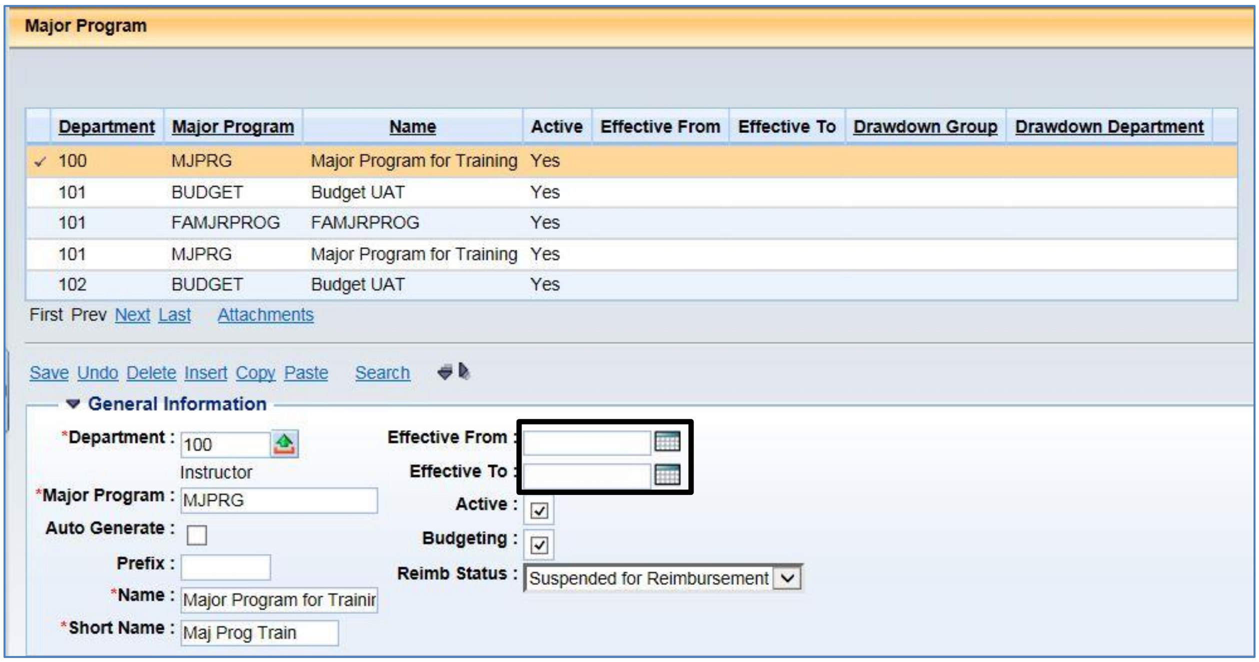
General Information

*Department :	102	Effective From :	
*Program :	102PROGRAM	Effective To :	
Auto Generate :	☐	Billing Agreement Date :	01/15/2015
Prefix :		Active :	☑
*Name :	102 Health Improvement Pr	Budgeting :	☑
*Short Name :	102 Health Imp	Reimb Status :	Allowed for Reimbursement
*Major Program :	102MP	Reimb Eligible :	☑
Sub Account :		Reclass Exclusion :	☐
Site Location :		Major Program Effective Start Date :	
Program Status :		Major Program Effective End Date :	

Effective From and Effective To Date Fields

The Effective From and Effective To date fields are found on the Major Program, Program, Program Phase, and Funding Profile pages. The use of the effective date fields is optional.

- The Effective From and Effective To date fields on the Major Program are optional. Refer to department procedure.
- The Effective From and Effective To date fields on the Program, Program Phase, and Funding Profile pages may be used to control the date range that transactions can be posted to the element. Refer to department procedure.



Lesson Summary

In this lesson, you:

- Identified the mechanisms available to close a project or grant
- Closed a grant

Check Your Progress

1. Project or grant activity can be controlled by unchecking the Active box on the _________ page.
    a. Major Program
    b. Program
    c. Program Period

   d. Funding Profile

   e. All of the above

2. The Effective From and Effective To date fields can also be used to establish a date range that transactions are allowed for a cost accounting element.

   a. True

   b. False

3. The Effective From and Effective To date fields are required fields because they control activity against the project or grant.

   a. True

   b. False

11. ADDING DECENTRALIZED CHART OF ACCOUNTS ELEMENTS

Learning Objectives

In this lesson, you will:

- Identify the Chart of Accounts reference tables that may be updated by departments
- Create an entry on the Program Type table

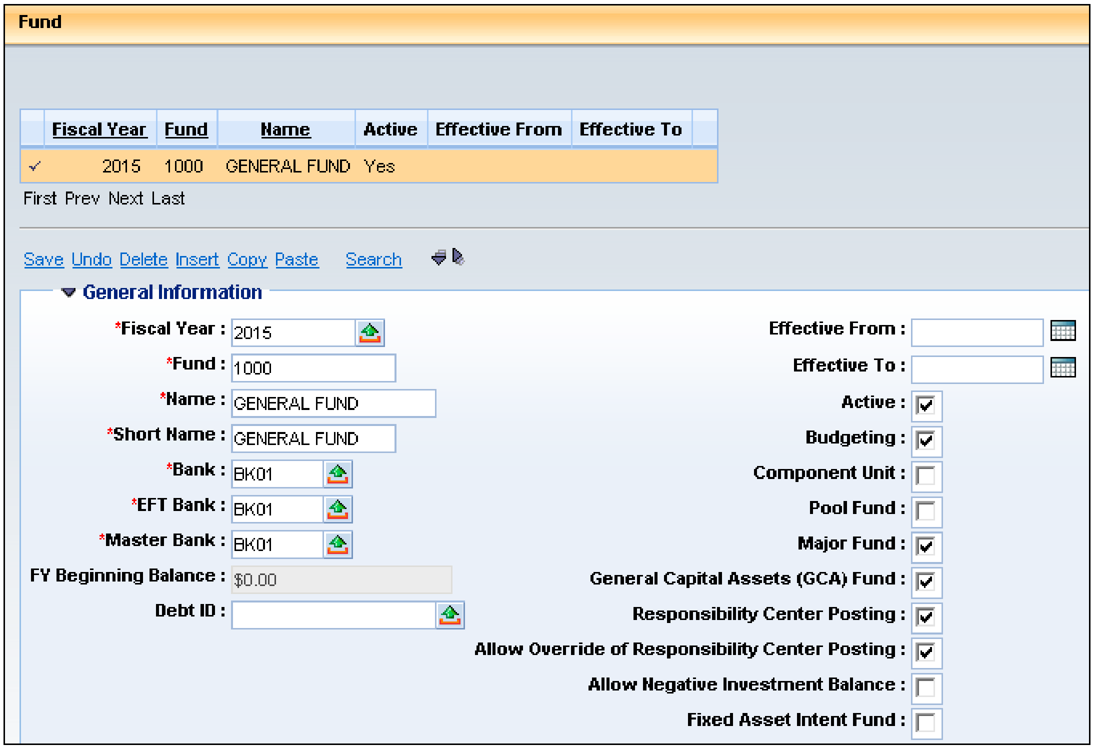
Lesson Overview

AFIS Chart of Accounts elements are either centralized (State-wide) or decentralized (department-specific). For those elements that are decentralized, departments have the option of creating department-specific Chart of Accounts elements to support business needs and reporting. This lesson identifies the reference tables available to departments and describes how to create new entries on reference tables.

11.1. AFIS Chart of Accounts Elements

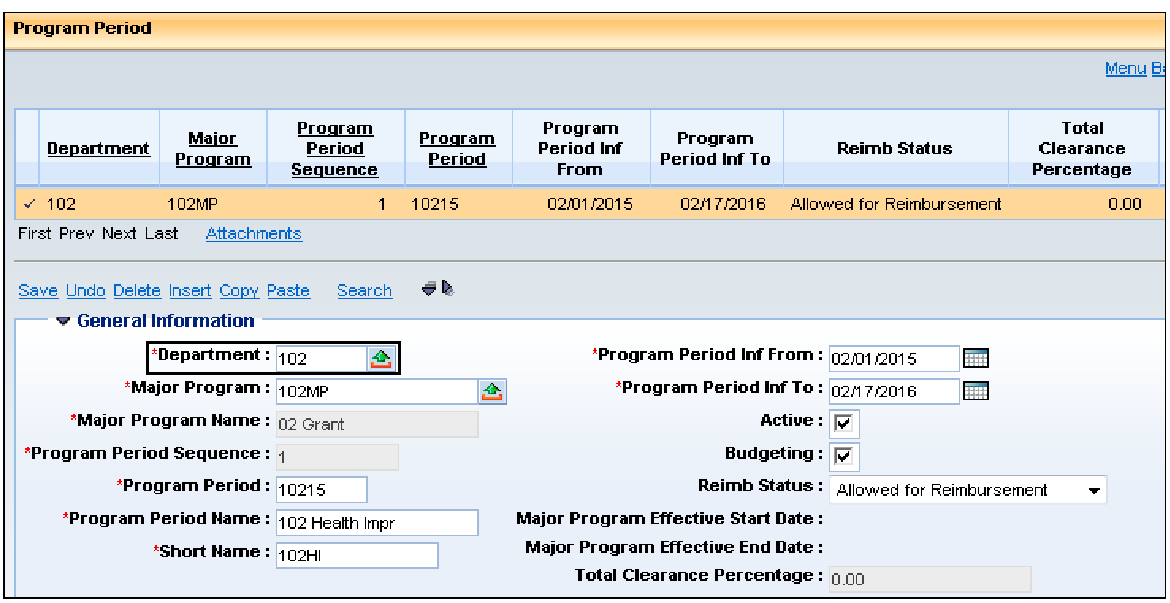
AFIS Chart of Accounts elements are either centralized or decentralized. The centralized Chart of Accounts elements are standardized for State-wide use and do not vary from one department to another. Examples of centralized Chart of Accounts elements are Fund, Department, Object, and several others. An easy way to identify a centralized Chart of Accounts element is to look at an entry on the reference table. If the table lacks a field to enter the Department, then the Chart of Accounts element is centralized. See Figure 16 for an example of an entry on the Fund table. Notice the Department field is not included, which indicates this is a centralized table.

Figure 16: Sample Entry on the Fund Table



In contrast, a decentralized Chart of Accounts element will always have a field on the corresponding reference table to enter the Department code. Examples of decentralized Chart of Accounts elements are Major Program, Program, Activity, Location, and several others. See Figure 17 for an example of an entry on the Program Period table. Notice the Department field is included, which indicates this is a decentralized table.

Figure 17: Sample Entry on the Program Period Table



Decentralized Cost Accounting Chart of Account Elements

All of the cost accounting Chart of Accounts elements are department-specific. This means that each entry made on a table to create a cost structure includes a Department code. In addition, some of the tables used to create Major Program and Program rollups are also decentralized. A complete list of all cost accounting reference tables that are decentralized is as follows:

- Major Program
  - Major Program Type (Rollup)
  - Major Program Group (Rollup)
- Program
  - Program Type (Rollup)
  - Program Group (Rollup)
- Funding Profile
- Phase
- Program Phase
- Program Period
- Stage Profile
- Task Order

Refer to department procedure for guidance on which elements each department is using.

Lesson Summary

In this lesson, you:

- Identified the Chart of Accounts reference tables that may be updated by departments
- Created an entry on the Program Type table

Check Your Progress

1. Chart of Accounts elements that are department-specific are called ___________________.
   a. Centralized
   b. Decentralized
   c. Departmental
2. Examples of centralized Chart of Accounts elements are ___________________.
   a. Fund
   b. Department

c. Major Program
d. Program
e. a. and b.
f. c. and d.

3. Guidance on creation of decentralized Chart of Accounts elements may be found in ______________________ procedures.

    a. GAO
    b. Department
    c. N/A. Decentralized chart of account elements are system generated and can’t be created.

12. Overhead Rate Process

Learning Objectives

In this lesson, you will:

- Describe the Overhead Rate process
- Identify the purpose of the Overhead Rate Reversal process

Lesson Overview

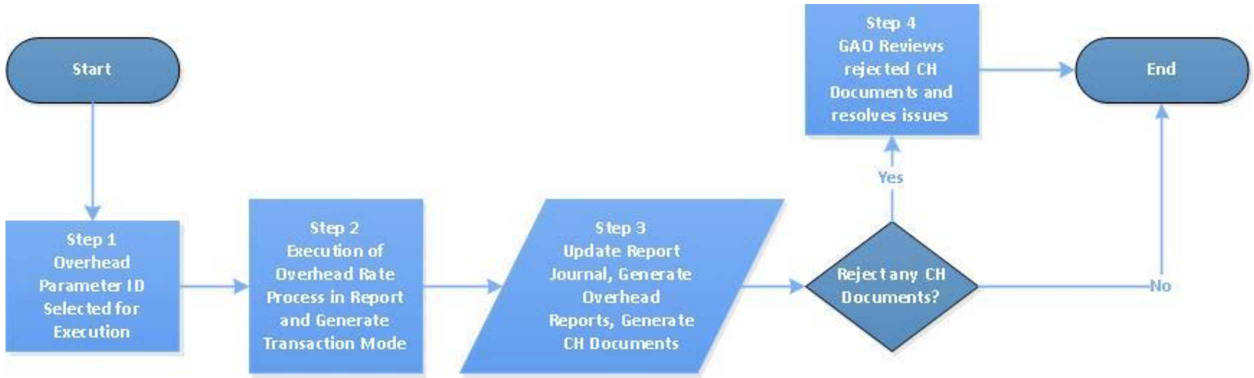
The purpose of the Overhead Rate process is to generate transactions that will record indirect costs for Cost Accounting entities. Those indirect costs may subsequently be eligible for reimbursement by various funding agencies. The Overhead Rate Process Reversal reverses the transactions generated from the Overhead Rate Process if they are found to be invalid. This lesson provides an overview of the two processes.

12.1. State Process Review

The steps below describe the statewide process. Your agency may have additional requirements. This process is referenced in To Be ID PA-TB-008 and represented by Figure 18 below.

1. The GAO schedules the Overhead Rate process in Generate Transaction mode. The purpose of the Overhead Rate process is to generate transactions that will record indirect costs for cost accounting entities.
2. The GAO executes the Overhead Rate process in Generate Transaction mode. Records that have been identified as eligible for overhead charges are selected from the Cost Accounting Journal.
3. Once the process has been run, the Report Journal is updated, Overhead reports are generated, and Charge (CH) documents are generated. These generated documents are loaded and submitted through this process. If any of the generated documents contain errors, the documents will be rejected. These rejected documents will be reviewed and the conditions causing the error resolved, without modifying the documents themselves when at all possible. System generated documents by-pass the workflow process unless manually modified by a user before they are submitted or when rejected documents are corrected.
4. The department reviews rejected CH documents, resolves the issues, and validates and submits the generated documents. The data recorded on the document should not be modified in order to resolve the errors if possible. These re-submitted documents will not be routed through workflow for approval.

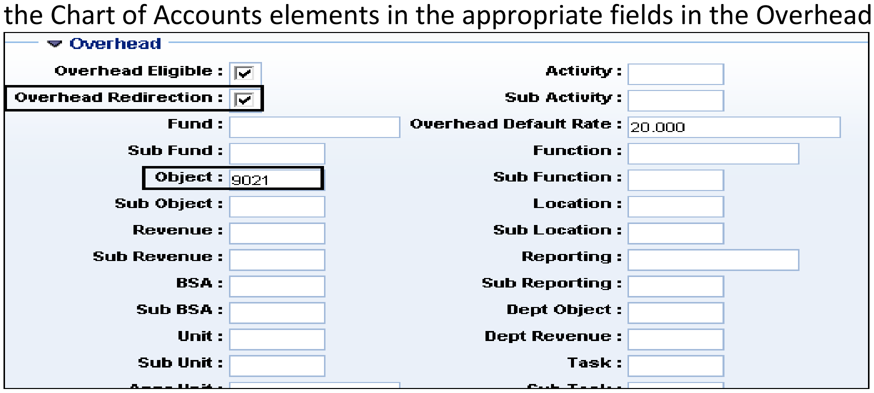
Figure 18: Overhead Rate Process (CA-TB-008)



12.2. Overview of the Overhead Rate Process

The key characteristics of the Overhead Rate process are as follows:

- The Overhead Rate process is setup on the Major Program (MJPRG) page for grants and projects; therefore, this process applies only to grant and projects expenditures. It does not apply to revenue and it cannot be used for operational expenditures (non-cost accounting transactions).
- These indirect costs are calculated as a fixed percentage of eligible direct costs. A default percentage is set on the MJPRG record for the project or grant. This default rate may be modified using the Overhead Rate Exception (OVDRTEXP) page for specific Object codes, Activity codes, or Program codes within the Major Program.
- The source entry on the Accounting Journal (JACTG) for the eligible direct costs remains unchanged by the Overhead Rate process.
- The output of the Overhead Rate process is a one-sided entry posted on the Cost Accounting Journal (JCA) using a Charge (CH) document. There is the option to retain the accounting distribution from the source transactions (direct cost transactions) on the CH document or the CH document can be created with an accounting distribution different than the source transaction.
    - If Chart of Account elements different than the source transaction are needed, check the Overhead Redirection check box on the Major Program record, Overhead component. Enter the Chart of Accounts elements in the appropriate fields in the Overhead component.



12.3. Overhead Rate Process Reversal

The Overhead Rate Process Reversal is actually the last (optional) step of the Overhead Rate process. The purpose of the Overhead Rate Process Reversal is to reverse the transactions generated from the Overhead Rate process. This step should only be executed if the CH transactions generated are deemed to be invalid. This step is accomplished in a separate running of the Overhead Rate Process.

State Process Review

The steps below describe the statewide process. Your agency may have additional requirements. This process is referenced in To Be ID PA-TB-009 and represented by Figure 19 below.

1. The GAO or an individual department makes a determination that the last Overhead Rate documents generated require reversal. GAO selects the Overhead Parameter ID to be reversed, configures the parameters, and schedules the process to be run.
2. The GAO executes the Overhead Rate Process in Reversal mode. Records will be selected from the process history tables to generate the reversing entries.
3. Once the process has been run, the Report Journal is updated, Overhead reports are generated, and Charge (CH) documents are generated to reverse previously-generated overhead charges. These generated documents are loaded and submitted through this process. If any of the generated documents contain errors, the documents will be rejected. These rejected documents will be reviewed and the conditions causing the error resolved, without modifying the documents themselves when at all possible. System generated documents by-pass the workflow process unless manually modified by a user before they are submitted or when rejected documents are corrected.
4. The department reviews rejected CH reversal documents, resolves the issues, and validates and submits the generated documents. The data recorded on the document should not be modified in order to resolve the errors if possible. These re-submitted documents will not be routed through workflow for approval.

Figure 19: Overhead Rate Process Reversal (CA-TB-009)

Lesson Summary

In this lesson, you:

- Described the Overhead Rate process
- Identified the purpose of the Overhead Rate Reversal process

Check Your Progress

1. The Overhead Rate process ____________________.
    a. May be applied to any expenditure or revenue transaction
    b. Calculates overhead costs real time, as transactions are entered in AFIS
    c. Is configured on the Major Program record for a grant or project
    d. Is configured on the Program record for a grant or project

2. The Overhead Rate process generates a __________________.
    a. One-sided entry on the Cost Accounting Journal using a CH document
    b. Two-side entry on the Accounting Journal using a GAX document
    c. One-sided entry on the Cost Accounting Journal using a GAX document
    d. None of the above

3. The Overhead Rate Process Reversal process is the last step in the Overhead Rate process and it must be included each time the Overhead Rate process is run.
    a. True
    b. False

13. FHWA

Learning Objectives

In this lesson, you will:

- Review configuration for FHWA-related cost structures
- Describe the FHWA file generation process
- Identify the purpose of the FHWA Cleanup process

Lesson Overview

Cost structures established for FHWA-funded cost accounting activities have unique settings that support the AFIS automated reimbursement process, and generation of an electronic file for submission to FHWA. A review of these settings is provided here.

The AFIS automated reimbursement process calculates drawdown requests and generates CARE and CACR documents to record the drawdown requests in AFIS. A component of this process is the generation of the FHWA electronic file for submission to the Rapid Approval and Payment System (RASPS). ADOT then manually submits the file to FHWA. The FHWA Cleanup process is used to correct records that have been rejected by the RASPS. Once corrected, ADOT manually resubmits the corrected records to FHWA. This lesson describes the FHWA and FHWA Cleanup processes.

13.1. Configuration and Setup of Programs for FHWA Cost Structures

To use the AFIS FHWA electronic file generation process, the cost structure for the project or grant must include the following settings. Other fields are required, but these fields are specific to the automated reimbursement process and/or FHWA file generation. See the topics related to each Chart of Accounts element in Lesson 5 Cost Accounting Setup Document for more information.

Major Program

- **Reimb Budget** - A reimbursement budget structure must be selected. Normally this is Structure ID 40 for FHWA projects
- **Split type** - Select Front End Split

Program

- **Billing Agreement Date** - Enter the date billing may begin for the project or grant
- **Reimb Status** - Select Allowed for Reimbursement
- **Reimb Eligible** - This check box should be checked

- **Fixed Asset Information** component - Complete this component if the Program will be linked to a Fixed Asset record using the Program Asset Generation process. See Topic 5.4, Cost Accounting Setup Program - Fixed Asset Information, for additional information

Program Phase

- **Billing Agreement Date –** Enter the date billing may begin for the project or grant
- **Reimb Status** - Select Allowed for Reimbursement
- **Reimb Eligible** - This check box should be checked
- **Fixed Asset Information** component – Complete this component if the Program will be linked to a Fixed Asset record using the Program Asset Generation process. See Topic 5.4, Cost Accounting Setup Program Phase - Fixed Asset Information, for additional information

Note*: The fields in the Highway Project component are available on the Major Program, Program, and Program Phase pages. Refer to department procedure for the completion of these fields.*

Program Period

In the Reimb Status field, select Allowed for Reimbursement.

Funding Profile, Funding Priority, Funding Line, Internal Buyer Funding Line

At least one Funding Profile hierarchy must be set up on these tables in accordance with department procedure.

Funding Profile Inference Tables

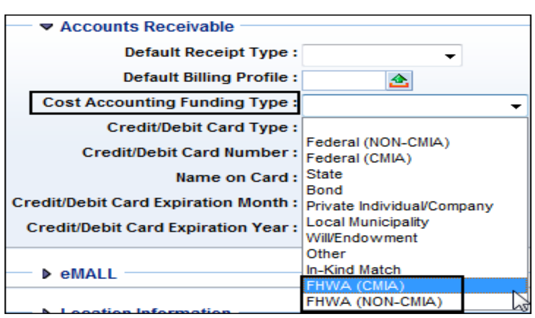
At least one entry for each Funding Profile must be established on the appropriate funding profile inference table. See Topic 5.4 Cost Accounting Setup Funding Profile Inference for additional information.

Program and Reimbursement Budget Lines

Program and reimbursement budget lines must be established for each Program, Phase, Program Period, and/or Funding Line in the cost structure. Refer to department procedure.

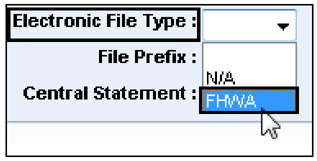
Vendor/Customer Table

Select either FHWA (CMIA) or FHWA (NON-CMIA) in the in the Cost Accounting Funding Type field, (Accounts Receivable component), in the record established on the Vendor/Customer (VCUST) page for the FHWA.



Customer Account Table

Select FHWA in the Electronic File Type field, (General Information component), in the record established on the Customer Account (CACT) page for the FHWA.



13.2. Overview of the FHWA Process

AFIS cost accounting facilitates reimbursement processing by automating the recording, tracking, and reporting of reimbursable costs. The AFIS reimbursement process automatically calculates drawdowns from external funding sources, and includes the generation of an electronic file in the format required by the Federal Highway Administration (FHWA).

The FHWA electronic file is populated with cost accounting data for those Customers that have been identified as FHWA Customers on the Vendor/Customer (VCUST) table. The electronic file includes:

- All new transactions identified in the current run of the automated reimbursement process
- Corrected records (records rejected by FHWA from a previous reimbursement cycle, then corrected by the State and resubmitted)

When ADOT manually submits the electronic file to the FHWA, it is run against an editing routine in the federal system called Rapid Approval and Payment System (RASPS). If the RASPS editing routine encounters any type of error on any record of the electronic file, then the entire file is rejected by FHWA. Examples of the types of validations performed in RASPS are:

- Project-Agreement-Number must be valid and active
- Sufficient budget authority must be available
- Ensuring that the Federal Appropriation Number (FAN) is valid for the project

Rejected records are corrected and resubmitted using the FHWA Cleanup process, which is addressed in the next topic.

13.3. FHWA Clean up

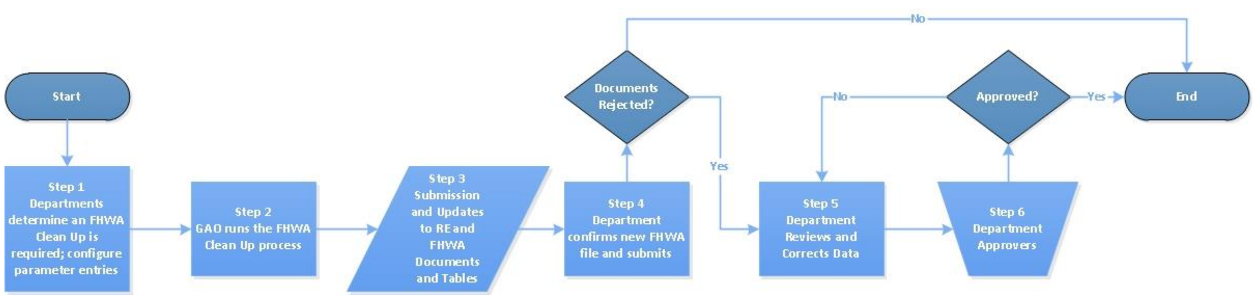
If the file rejects in RASPS due to problems with data in the flat file, then the information on the electronic file will have to be modified and re-submitted to FHWA. FHWA will automatically re-process the file after the RASPS data is corrected.

State Process Overview

The steps below describe the statewide process. Your agency may have additional requirements. This process is referenced in To Be ID PA-TB-011 and represented by Figure 20 below.

1. Managers within the department learn the Rapid Approval and Payment System (RASPS) rejected an FHWA Billing File due to problems with data in the file that was sent. Determination is made that the GAO needs to run the FHWA Cleanup process, and the department configures the parameter entries. GAO then schedules the FHWA Cleanup process based upon the departmental requirements.
2. The GAO executes the FHWA Cleanup process to remove and recycle the rejected records from and rebuild the FHWA Billing file. This new file can be re-submitted to FHWA and reprocessed through the RASPS.
3. When the FHWA Cleanup process is executed, it updates Receivable (RE) documents, reimbursement tables, FHWA Summary table, and the FHWA Billing file. The modified RE documents are loaded and submitted. If any of the RE documents generated with errors, the documents are reviewed by the responsible department and corrected before approval and further update to the Cost and Accounting Journals.
4. The department reviews the resulting FHWA Billing file, and determines if the data is correct.
5. The department reviews rejected RE documents, resolves the issues, and validates and submits the generated documents. The data recorded on the document should not be modified to resolve the issues. Issues should be resolved by modifying relevant data on reference, budget, or control tables. No GAO approval is required.
6. The RE documents require review and approval by the department. Departmental approval will be configured for the individual departments as needed. If a document is rejected, it will be set to a draft state allowing department users to modify or correct the document and resubmit.
7. Once reviewed and approved, the file is resubmitted to the FHWA.

Figure 20: FHWA Cleanup Process (PA-TB-011)



It is possible to re-submit the newly modified electronic file containing only the good records without being required to re-run the entire Reimbursement Output Process. The FHWA Cleanup process should be requested and executed as soon as the user knows that RASPS has rejected the submitted FHWA electronic file (minimally, before the next run of the automated reimbursement process). Timely execution of this process is required because the Reimbursement Output process overwrites the records in the FHWA Summary table each time the process is run.

FHWA Rejection Records Page

The FHWA Rejection Records (FHWACLN) parameter page is where users indicate the rejected records by checking the reject record flag for the appropriate record and providing a reason. When the FHWA Cleanup process is run, the process will create a new FHWA file with only the corrected records.

FHWA Cleanup Process - Reports

The FHWA Cleanup process generates two reports to support the process. The reports are:

- **Generated Failed Document Report** - Displays any generated RE documents with all the failed lines and its associated errors
- **Rejected Record Report** - Lists the records that were selected by the process but are in Rejected Status

Lesson Summary

In this lesson, you:

- Reviewed configuration for FHWA-related cost structures
- Described the FHWA file generation process
- Identified the purpose of the FHWA Cleanup process

Check Your Progress

1. The FHWA file generation process ____________________.
    a. Is a component of the AFIS automated reimbursement process
    b. Creates an electronic file for submission to the FHWA Rapid Approval and Payment System (RASPS) for reimbursement
    c. Automatically executes the FHWA Cleanup process
    d. All of the above
    e. a. and b. only

2. The FHWA Cleanup process can be run up to 3 weeks after an error is identified.
    a. True
    b. False

14. Cost Accounting Reporting

Learning Objectives

In this lesson, you will:

- Review reports available in Cost Accounting

Lesson Overview

AFIS includes several reports for monitoring Cost Accounting.

14.1. Reports

The key reports needed to support the AFIS Cost Accounting business processes are listed below. Included with some of the reports are the data elements (prompts) that are available.

AFIS Reports

- **CMIA Discrepancy Report** - This exception report identifies those Program Period records whose total clearance percentage is not equal to 100 percent (where CMIA drawdown records have been created on the CMIA setup table, the total clearance percentage for all records for each Program Period should equal to 100 percent).
- **CMIA Interest Calculation Report**
    - **Exception Report** - Identifies two types of exceptions encountered during CMIA calculations: 1) If the CMIA Calculation Method on the record from the Reimbursement History table differs from that on the Funding Line table, and 2) If the CMIA Calculation method is Pre-Issuance and the Total Clearance Percentage in the CMIA Setup table for all records for a Program Period does not total to 100%. The records for which the Clearance Percentage total does not equal 100% will be excluded from further processing and written to the exception report.
    - **Detail Report** - This report captures CMIA Interest at the detail level (for each record with calculated interest, CMIA methods etc.), reported by Customer and Programs funded by the Customer.
    - **Summarized Report** - This report captures the total CMIA Interest Due To Federal Government and Interest Due From the Federal Government separately for each Program (Department, Major Program and Program Period) grouped by Customer.

infoAdvantage Reports

- **FIN-AZ-CA-N002R - Program Phase Expenditure-Reimbursement Budget Reconciliation Report Name** - This report captures budget line amounts by department and program for program expense budgets and program reimbursement budgets to verify they are equal.
- **FIN-AZ-CA-N170 - CMIA Interest Liability** - This report captures the CMIA Interest Liability Calculation. Within the report, user-based filter options are available for the following data elements: CFDA, To Date, Interest, Department, Fund Group, From Date.
- **FIN-AZ-AP-N038-RDD AHCCCS – Daily Outstanding Disbursement by Program Phase** - This scheduled report captures vendors on hold, invoices on hold, and outstanding credit memos.
- **FIN-AZ-AP-N039-RDD AHCCCS - Outstanding Disbursement by Program Phase** - This on demand report captures vendors on hold, invoices on hold and outstanding credit memos. Within the report, user-based filter options are available for the following data elements: Program, Phase, and Vendor.
- **FIN-AZ-AP-N040-RDD AHCCCS - Daily Outstanding Disbursement by Program Phase – Summary** - This scheduled report captures vendors on hold, invoices on hold and outstanding credit memos - Summary.
- **FIN-AZ-GM-C361-RDD Grant Hours by Grant and Phase** - This report captures actual contractor hours worked by grant and grant phase. Within the report, user-based filter options are available for the following data elements: Fiscal Year, Department, Major Program, CFDA, Grant ID and Accounting Period (APD).
- **FIN-AZ-GM-C076d-RDD Comparison Between Claim Submitted and Actual Revenue Received by Grant** - This report captures a comparison between claims submitted for date range and actual revenue received. Within the report, user-based filter options are available for the following data elements: From Record Date, To Record Date, Grant ID, CFDA, and Department.
- **FIN-AZ-GM-C076e-RDD Revenue and Expenditures for Program and Grant by Program Period** - This report captures revenue and expenditures for program and grant by program period. This report includes revenues collected by revenue source and expenditures by object. Within the report, user-based filter options are available for the following data elements: Department, Major Program, Program Period, and Program.
- **FIN-AZ-AP-C032b-RDD Average Daily Clearance Report by CFDA and Agency** - This report captures average daily clearance for all payments by CFDA and Agency. Report Period (X) Thru (X). Within the report, user-based filter options are available for the following data elements: From Date, To Date, CFDA, Department, and Doc Code.
- **FIN-AZ-AP-C044-RDD Report on All Special Matching Arrangements By Project, Phase** - This report captures all special matching arrangements by project and phase.
- **FIN-AZ-AP-C043-RDD Disbursement by Vendor by Program Phase** - This report captures disbursements to vendors by Program and Phase on a specified date. Within the report, user-based filter options are available for the following data elements: From Date, To Date, Program, Phase, Department, and Vendor.
- **FIN-AZ-GM-C075-RDD Year to date Grant Awards vs. Expenditures** - This report captures year to date total revenue from all Revenue Sources, total expenditures, and the remaining award

amount for a Grant. Within the report, user-based filter options are available for the following data elements: Fiscal Year (FY), APD, Department, Program Period, CFDA, and Major Program.

- **FIN-AZ-CA-C086-RDD Accounting Listing by Fiscal Year and Accounting Period** - This report captures Accounting Listing by FY and Accounting Period extract file for ADOA/GAO only.

Lesson Summary

In this lesson, you:

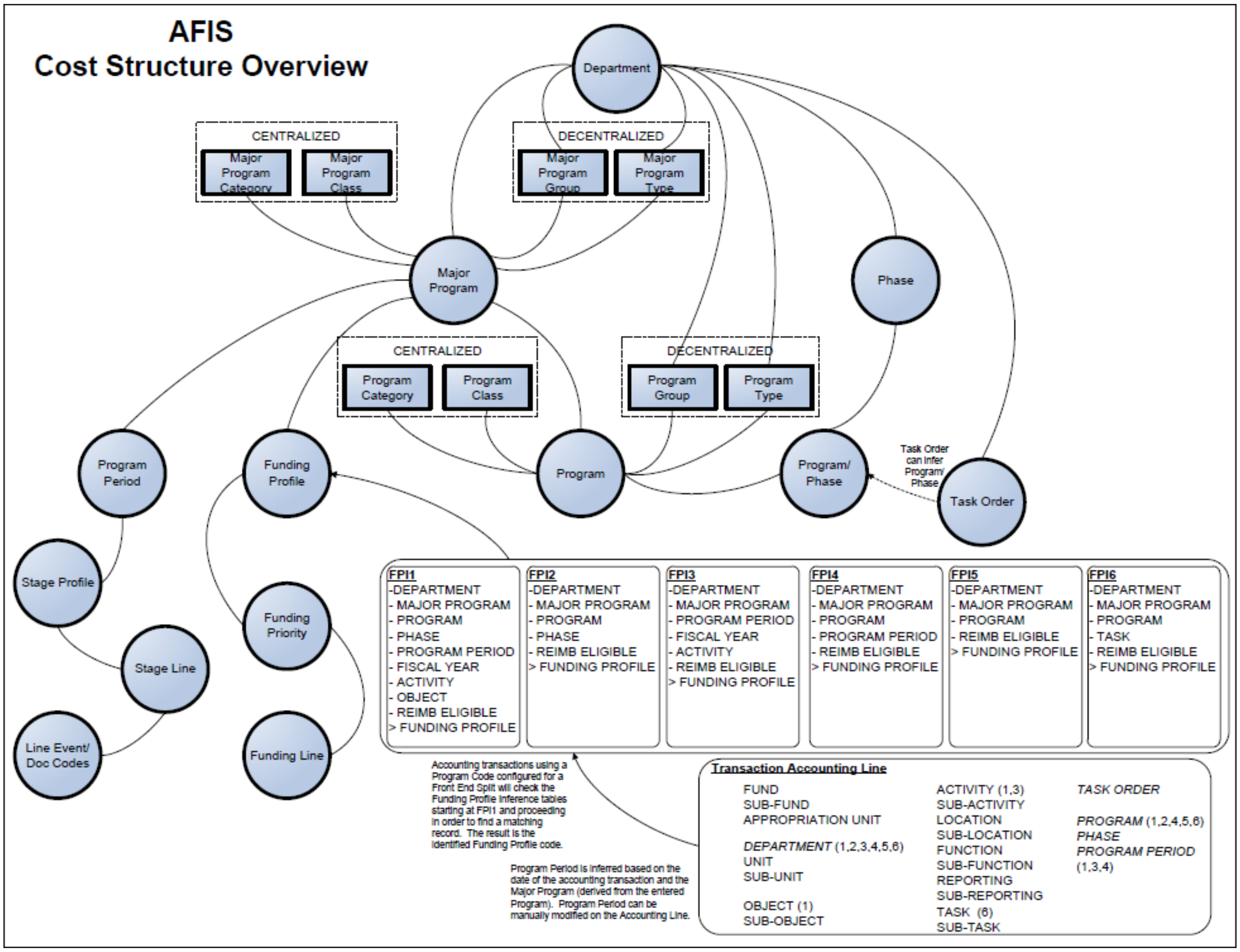
- Reviewed reports for Cost Accounting

Check Your Progress

1. To ensure that the program phase budgets established for a project in Budget Structures 37 and 40 are equal, use the ______________________ report.
   a. FIN-AZ-CA-N002R - Program Phase Expenditure-Reimbursement Budget Reconciliation Report Name
   b. FIN-AZ-AP-N039-RDD AHCCCS - Outstanding Disbursement by Program Phase
   c. FIN-AZ-AP-N040-RDD AHCCCS - Daily Outstanding Disbursement by Program Phase – Summary
2. The following statements are true about the FIN-AZ-AP-N038-RDD AHCCCS - Daily Outstanding Disbursement by Program Phase report and the FIN-AZ-AP-N039-RDD AHCCCS - Outstanding Disbursement by Program Phase report.
   a. The FIN-AZ-AP-N038-RDD AHCCCS - Daily Outstanding Disbursement by Program Phase report is scheduled to run daily.
   b. The FIN-AZ-AP-N039-RDD AHCCCS - Outstanding Disbursement by Program Phase report is run on demand.
   c. The FIN-AZ-AP-N039-RDD AHCCCS - Outstanding Disbursement by Program Phase report provides user-based filter options to filter the data in the report.
   d. All of the above.

15. Appendix

Cost Structure Diagram



Cost Structure Models

The required and optional elements in the AFIS cost structure may be combined in different ways to meet the cost accounting needs of the specific grant or project. Seven models of cost structures have been established for use by departments. Based upon the structure element required for each grant or project, the department selects the appropriate model to establish the cost structure in AFIS. Therefore, departments may use one or more models depending on their cost accounting needs. The structure elements and associated models are illustrated in Figure 21 and defined further below.

Figure 21: AFIS Cost Structure Models

	MODEL						
	1	2	3	4	5	6	7
Structure Elements							
Track Expenditures and Revenue by Project Activities (Phases)	X						X
Track Expenditures and Revenue by Time Periods		X	X	X	X	X	
Three level structure with Major Program as the top tier	X	X		X	X	X	X
Four level structure with one of the Major Program roll-up fields as the top tier			X				
Budget Elements							
Budget Expenditures by Project Activities (Phases)	X						X
Budget Expenditures by Time Periods		X	X	X	X	X	
Reimbursable Grant				X	X	X	X
Funding Elements							
Funded by a single Federal Grant (CFDA), renewable each year				X			
Funded by a single Federal Grant (CFDA) which covers multiple years				X			
Funded by a new single Federal Grant (CFDA) for each year's apportionment					X		
Funded by multiple grants and/or multiple CFDA simultaneously						X	X
Funded by State fund matches				X	X	X	X

Cost Structure Model 1

Model 1 is used for activity-based, non-reimbursable, and internally funded projects. It is characterized by the following elements:

- Track Expenditures and Revenue by Project Activities (Phases)
- Three level structure with Major Program as the top tier
- Budget Expenditures by Project Activities (Phases)

To meet these cost accounting needs, this type of project will utilize the following cost structure elements. For several elements, more than one entry will be needed.

- Major Program
- Program
- Phase
- Program Period
- Program Expense Budget

Cost Structure Model 2

Model 2 is used for time period-based, non-reimbursable, and internally funded projects. It is characterized by the following elements:

- Track Expenditures and Revenue by Time Periods
- Three level structure with Major Program as the top tier
- Budget Expenditures by Time Periods

To meet these cost accounting needs, this type of project will utilize the following cost structure elements. For several elements, more than one entry will be needed.

- Major Program
- Program
- Program Period
- Program Expense Budget

Cost Structure Model 3

Model 3 is used for time period-based, non-reimbursable, and internally funded projects with additional structure levels. It is characterized by the following elements:

- Track Expenditures and Revenue by Time Periods
- Four level structure with one of the Major Program roll-up fields as the top tier
- Budget Expenditures by Time Periods

To meet these cost accounting needs, this type of project will utilize the following cost structure elements. For several elements, more than one entry will be needed.

- Major Program
- Major Program Group
- Program
- Program Period
- Program Expense Budget

Cost Structure Model 4

Model 4 is used for time period-based, reimbursable and/or externally funded projects with a renewable CFDA number at the Funding Line. It is characterized by the following elements:

- Track Expenditures and Revenue by Time Periods
- Three level structure with Major Program as the top tier
- Budget Expenditures by Time Periods
- Reimbursable Grant
- Funded by a single Federal Grant (CFDA), renewable each year
- Funded by a single Federal Grant (CFDA) which covers multiple years, but requires no renewing effort
- Funded by State fund matches

To meet these cost accounting needs, this type of project will utilize the following cost structure elements. For several elements, more than one entry will be needed.

- Major Program
- Program
- Program Period
- Funding Profile
- Funding Priority
- Funding Line
- Program Expense Budget
- Reimbursement Budget
- Funding Profile Inference

Cost Structure Model 5

Model 5 is used for time period-based, reimbursable and/or externally funded projects with new CFDA numbers each year recorded on the Program Period. It is characterized by the following elements:

- Track Expenditures and Revenue by Time Periods
- Three level structure with Major Program as the top tier
- Budget Expenditures by Time Periods
- Reimbursable Grant
- Funded by a new single Federal Grant (CFDA) for each year's apportionment
- Funded by State fund matches

To meet these cost accounting needs, this type of project will utilize the following cost structure elements. For several elements, more than one entry will be needed.

- Major Program
- Program
- Program Period
- Funding Profile
- Funding Priority
- Funding Line
- Program Expense Budget
- Reimbursement Budget
- Funding Profile Inference

Cost Structure Model 6

Model 6 is used for time period-based, reimbursable and/or externally funded projects with multiple grants at the Funding Line level. It is characterized by the following elements:

- Track Expenditures and Revenue by Time Periods
- Three level structure with Major Program as the top tier
- Budget Expenditures by Time Periods

- Reimbursable Grant
- Funded by multiple grants and/or multiple CFDA simultaneously
- Funded by State fund matches

To meet these cost accounting needs, this type of project will utilize the following cost structure elements. For several elements, more than one entry will be needed.

- Major Program
- Program
- Program Period
- Funding Profile
- Funding Priority
- Funding Line
- Program Expense Budget
- Reimbursement Budget
- Funding Profile Inference

Cost Structure Model 7

Model 7 is used for activity-based, reimbursable and/or externally funded projects with multiple grants at the Funding Line. It is characterized by the following elements:

- Track Expenditures and Revenue by Project Activities (Phases)
- Three level structure with Major Program as the top tier
- Budget Expenditures by Project Activities (Phases)
- Reimbursable Grant
- Funded by multiple grants and/or multiple CFDA simultaneously
- Funded by State fund matches

To meet these cost accounting needs, this type of project will utilize the following cost structure elements. For several elements, more than one entry will be needed.

- Major Program
- Program
- Phase
- Program Period
- Funding Profile
- Funding Priority
- Funding Line
- Program Expense Budget
- Reimbursement Budget
- Funding Profile Inference

COST ACCOUNTING PROCESS OVERVIEWS

The AFIS automated reimbursement process is supported by several automated batch processes. For additional information, please refer to the AFIS Cost Accounting Run Sheets, which are available in the AFIS Application Help, or contact your GAO Liaison.

Reimbursement Process

The full scope of the Cost Accounting Reimbursement functionality is divided into three required processes: Reimbursement Selection and Calculation, Reimbursement Generation, and Reimbursement Output. The three required processes are inter-related and must be executed in a sequential order.

Reimbursement Selection and Calculation Job

The Reimbursement Selection & Calculation chain has four jobs:

1. Reimbursement Selection
2. Load Documents from XML
3. Submit Documents
4. Cleanup

The Reimbursement Selection and Calculation process:

- Gathers reimbursable transactions
- Verifies that the Posting Codes within each gathered reimbursable transaction allows the transaction to be reimbursed
- Applies funding split rules for Back End Splits, and
- Creates input file for the subsequent Reimbursement Generation process

The Reimbursement Selection Parameters (REIMSEL) table is used to provide instructions for the running of the Cost Reimbursement Selection process.

Reimbursement Generation Job

The Reimbursement Generation process selects transaction records for reimbursement based upon the two parameter tables described below. Just because a transaction is eligible for reimbursement does not mean that it will be used for the very next running of the overall reimbursement processes.

The Reimbursement Generation Parameters (REIMGEN) table, as well as the Reimbursement Frequency Date (FREQDT) table, is used to provide instructions for the running of the Reimbursement Generation process. The latter table, for example, indicates the reimbursement frequency characteristic of a grant or project which the system will look for the next time the overall reimbursement processing occurs. A reimbursement frequency of Daily would have related transactions picked up by reimbursement processes more frequently than a reimbursement frequency of Monthly or Quarterly.

Reimbursement Output

The Reimbursement Output process generates the actual drawdown request for grants such as FHWA file, Receivable (RE) document, Cash Receipt (CR) document (for pre-paid grants), or Internal Exchange Transaction (IET) documents for the portion of the reimbursable expenditure funded internally.

The Reimbursement Output Parameters (REIMOTPT) table is used to provide instructions for the running of the Cost Reimbursement Output process.

Reclassification Process

The Reclassification process is organized into two different processes as described below:

Normal Reclassification

During the life of a Cost Accounting entity (for example, project, grant, or job), the financial structure of the reimbursement funding and cost eligibility will require modification. These modifications are due to a variety of factors to include: changes in the agreement amounts with an external funding source, changes in the eligibility of certain types of reimbursable expenditures, or errors in the setup of the grant or project. The Reclassification process is executed when there are retroactive changes in the agreement amounts with an external funding source, changes in the eligibility of certain types of reimbursable expenditures, or setup errors. The process may be run in Report, Update, or Report & Update modes.

When the need for reclassifying program transactions is identified, and the department determines it is ready to run the process in Update mode, the department will configure the parameter entries for the Reclassification process, which are entered into the Reclassification Parameter Screen:

- **Automatic Overflow Indicator** - This check box is unchecked for normal reclassification
- **Transaction Date From and To** - These fields are optional and may be used to identify specific begin and end dates for the reclassification process
- **Department** - This field is required and is used to identify the department code for the Major Program requiring reclassification
- **Major Program** - This field is required and is used to identify the Major Program code requiring reclassification
- **Funding Profile** - This field is required and is used to identify the Funding Profile requiring reclassification
- **Phase** - This field is optional and is used if a specific Phase requires reclassification
- **Program** - This field is optional and is used if a specific Program requires reclassification
- **Program Period** - This field is optional and is used if a specific Program Period requires reclassification

Once the parameters for the process have been identified, the GAO schedules the Reclassification process to be run in Update mode based upon the department requirements. The process generates the following updated documents (if necessary, based on the reclassification parameters):

- Automated Disbursement (AD)
- Charge Transaction (CH)
- Internal Transaction Approval (ITA)
- Internal Transaction Initiator (ITI)
- Internal Exchange Transaction (IET)
- Manual Disbursement (MD)
- Payroll Expenditure Correction (PYRL)
- Issue Confirmation (CI)
- Stock Transfer Receipt (TR)
- Over-the-Counter (OC)
- Stock Return (SN)
- Cash Receipt (CR)

If any of the documents are generated with errors, the GAO reviews and resolves the errors, with help from the department if needed.

Automatic Overflow Recapture

Changes to funding or eligibility may free up monies, which can be applied against transactions that were previously not eligible for reimbursement due to exceeding the funding limitations. These amounts would have been applied to the "overflow" priority in a Funding Profile and, with the new funding rules established, may now be eligible for reimbursement.

It is important to note these two processes are independent of each other and must be executed separately. In addition, when the reclassification process is executed in the normal reclassification mode or automatic overflow recapture mode, the reclassification process identifies the original transactions required to be reclassified and creates the appropriate adjusting transactions to affect the changes.

When the Automatic Overflow Recapture indicator is set to Yes, the reclassification process will look for any programs that have Overflow costs (that is, the overflow priority has billed balances). If there are any of these programs with Overflow, which also have had a funding change (that is, additional dollars added, a new priority added ahead of the Overflow priority – determined by a previous priority with available dollars), the reclassification process will automatically include these programs in the reclassification process. This process eliminates the need to identify all Programs with Overflow costs in the reclassification parameters.

It is important to note that the Automatic Overflow Recapture indicator only affects the input to the reclassification process. Once these Overflow Reclassifications are included in the input, they are processed just like any other Reclassification.

This Automatic Overflow Recapture process is executed when the following conditions exist:

- The Automatic Overflow Recapture indicator is set to Yes
- This process can be executed when funds are spent from a temporary budget and funds become available in a real budget

- A temporary budget is associated with a Funding Priority with an Overflow Indicator of 'Y'. Online edits are in place to ensure that only the last Funding Priority within a Profile can be defined as Overflow
- This process looks at the Funding Split Log for Funding Priorities that are marked as Overflow, if it finds one it will see if there are any funds available in the other Priorities associated with the same Funding Profile

ANSWER KEYS

Below are answer keys for the Check Your Progress quizzes provided at the end of each lesson.

Lesson 1

1. b. False (Section 1.1 Navigation Review: Reference Tables)
2. a. True (Section 1)
3. a. True (Section 1.3 Navigation review: Inquiry Pages)

Lesson 2

1. a. True (Section 2.2 Overview of Cost Accounting Setup)
2. b. False (Section 2.2 Overview of Cost Accounting Setup)
3. e. All of the above (Section 2.1 Cost Accounting Overview)

Lesson 3

1. a. True (Section 3.2 Program Setup)
2. c. Phases (Section 3.3 Phase and Program Phase)
3. a. Funding profile inference (Section 3.8 Establish a Funding Profile Hierarchy)
4. b. Program Period (Section 3.6 Establish a Program Period)
5. c. Stage Profile Select (Section 3.7 Establish Stage Definitions)
6. c. Stage Definition Setup; Program Period (Section 3.7 Establish Stage Definitions
7. c. Program Object Exception (Section 3.11 Program Activity Exception Page)

Lesson 4

1. c. Both a. and b. (Section 4.1 Budget Overview)
2. Budget Structures 38 and 39 (Section 4.2 Budget Structures for Cost Accounting)
3. e. a., b., c., and d. (Section 4.3 Create a Cost Accounting Budget)
4. a. True. (Section 4.3 Create a Cost Accounting Budget)
5. b. False. (Section 4.4 Overview of Budget Inquiry Pages)

Lesson 5

1. g. a., b., c. and e. Although the use of a CAS document has many benefits and can streamline data entry for new projects, it cannot ensure the accuracy of the data entered into the CAS document. (Lesson Overview)
2. b. False. (Lesson Overview)
3. d. All of the above. (Lesson Overview)
4. a. True. (Section 5.2 Overview of the Cost Accounting Setup (CAS) Document

Lesson 6

1. a. True (Lesson Overview)
2. d. Modify a record on PROG (Section 6.2 Overview of Cost Accounting Modification (CAM) Document)
3. a. True (Section 6.2 Overview of Cost Accounting Modification (CAM) Document)

Lesson 7

1. a. GAX (Section 7.1 Recording a Non-Commodity Based Payment in AFIS)
2. c. Detail Accounting tab; Accounting line (Section 7.1 Recording a Non-Commodity Based Payment in AFIS
3. c. Cash Expenses (Section 7.3 Activity)
4. d. All of the above (Section 7.4 Prevention of and Correction of Errors)

Lesson 8

1. b. Charge Transaction (Lesson Overview)
2. a. Internal Costing Usage Transaction (Section 8.2 Overview of the Internal Cost Process)
3. b. False (Section 8.4 Internal Costing Usage Transaction Data Entry)
4. a. True (Section 8.6 Researching Internal Costing Usage Transaction Documents)
5. c. Both manually and by the Internal Costing Process (Section 8.7 & 8.8)

Lesson 9

1. b. Receivable (RE) document. (Lesson Overview)
2. a. Record a drawdown request that has not been requested from the funding source (accrued receivable). (Lesson Overview)
3. a. Cash Receipt (CR) document. (Section 9.2 Receive Project Revenue)
4. b. False. A Cash Receipt document can be created in three ways: Copy Forward from a Receivables document, manual entry not referencing a Receivables document and auto generated by the automatic reimbursement process. (Section 9.2 Receive Project Revenue)

5. c. Collected Earned Revenue. (Section 9.3 Activity)

Lesson 10

1. e. All of the above. Refer to department procedure regarding use of the Effective From and Effective To date fields on the various tables within the cost structure. (Section 10.1 Close a Program or Program Component)
2. a. True (Section 10.1 Close a Program or Program Component)
3. b. False (Section 10.1 Close a Program or Program Component)

Lesson 11

1. b. Decentralized (Lesson Overview)
2. e. a. and b. (Section 11.1 AFIS Chart of Accounts Elements)
3. b. Department (Section 11.1 AFIS Chart of Accounts Elements)

Lesson 12

1. c. Is configured on the Major Program record for a project or grant (Section 12.2 Overview of the Overhead Rate Process)
2. a. One sided entry on the Cost Accounting Journal using a CH document (Section 12.2 Overview of Overhead Rate Process)
3. b. False. Minimally, the FHWA Cleanup process must be run before the next run of the automated reimbursement process. (Section 12.3 Overhead Rat Process Reversal)

Lesson 13

1. e. a. and b. only (Lesson Overview)
2. b. False (Section 13.3 FHWA Clean Up)

Lesson 14

1. a. FIN-AZ-CA-N002R - Program Phase Expenditure-Reimbursement Budget Reconciliation Report Name (Section 14.1 Reports)
2. d. All of the above (Section 14.1 Reports)